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ABSTRACT

In 1998, the W. K. Kellogg Foundation asked the Harvard Family Research Project to examine current trends, gaps, and opportunities in foundation grantmaking for children and youth. Early in the process, it was clear that there were important transformations in funding goals and strategies underway. This report examines current grantmaking trends and describes promising new strategies to improve the well-being of America's children. The report describes how many foundations are rethinking their roles as risk takers, partners, and supporters of innovation and as promoters of their own and others' learning and accountability. The report also lays out a series of difficult challenges and trade-offs that warrant further discussion among foundations as they chart their role into the next century. The report addresses five specific questions: (1) What is the pattern of funding by age group, level, and sector? (2) What are the key lessons from past grantmaking that are informing future work? (3) What are the major trends in grantmaking strategies? (4) How are foundations reorganizing to develop their new strategies and accomplish their goals? and (5) What are the gaps, opportunities, and challenges for those who want to improve the status and well-being of children and youth? Contains four appendices, including an interview list, survey, and tables of top funders. (SD)

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NEW STRATEGIES IN FOUNDATION GRANTMAKING FOR CHILDREN AND YOUTH

Heather B. Weiss
M. Elena Lopez

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**New Strategies in
Foundation Grantmaking
for
Children and Youth**

**Heather B. Weiss
M. Elena Lopez**

**Harvard Family Research Project
Cambridge, MA
1999**

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PREFACE

In 1998, the W.K. Kellogg Foundation asked the Harvard Family Research Project to examine current trends, gaps, and opportunities in foundation grantmaking for children and youth. Their intentions were to inform their own grantmaking and to share the results of the inquiry with others in the philanthropic community. Early in the process of interviewing senior program staff in nineteen of the foundations that fund heavily in the children and youth area, it was clear that there were important transformations in funding goals and strategies underway. This paper examines current grantmaking trends and describes promising new strategies to improve the well-being of America's children. It describes how many foundations are rethinking their roles as risk takers, partners, and supporters of innovation and as promoters of their own and others' learning and accountability. It also lays out a series of difficult challenges and trade-offs which warrant further spirited discussion among foundations as they chart their role into the next century.

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TABLE OF CONTENTS

Introduction	1
I. Past and Emerging Funding Patterns	3
II. Key Lessons from Past Grantmaking That Are Informing Current and Future Work	11
III. Major Trends in Grantmaking Strategies	17
IV. How Are Foundations Reorganizing to Develop New Strategies and Accomplish Their Goals?	29
V. What Are the Current Gaps, Opportunities, and Challenges for Funders Who Want to Improve the Status and Well-Being of Children and Youth?	33
 Appendices	
 Appendix A	
Foundation Change: Transitions and Planning	37
 Appendix B	
1. Foundation Interview List	39
2. Pre-Interview Schedule	41
3. Foundation Survey of Grantmaking	45
 Appendix C	
Tables	
1. Status of Foundation Strategic Planning	51
2. Present, Past, and Future Priority of Grantmaking for Children and Youth	53
3. Estimates of Foundation Funding for Children and Youth: Present, Past, and Future	55
4. Percentages and Future Status of Grantmaking by Age, Level, and Sector	57
5. Percentages of Solicited and Unsolicited Grants, Typical Grant Duration, and Recent Launch of a Large Multi-Site Initiative	59
6. Primary Strategies or Investments	61
 Appendix D	
Tables	
1. Top 30 Funders for Children and Youth in 1995/96	65
2. Top 25 Funders for Children and Youth (0-19) in 1996	66
3. Top 25 Early Childhood (0-4) Funders in 1996	67

INTRODUCTION

In an effort to make more strategic and focused investments with demonstrable impact, many foundations are rethinking their grantmaking for children and youth. They are re-evaluating their goals and strategies and reflecting on their relative advantage as foundations to leverage change and improve outcomes. Most of the nineteen foundations examined for this report have recently completed or are undergoing strategic planning processes. They are rethinking their roles as risk takers, partners, and supporters of innovation and as promoters of their own and others' learning and accountability. This re-examination is taking place in a substantially shifting context inside and outside foundations.

It is a time of major flux and change for many of these foundations. This is both because there are so many internal leadership transitions at all levels¹ and because of their recently completed or ongoing strategic planning processes.² New leadership is making an imprint and realigning priorities and developing new ones. These factors, along with judgements about opportunities and responsibilities in the current social, political, and economic context, have resulted in internal organizational changes and a redefinition of grantmaking directions and strategies. Many of these foundations are also assessing the uncertain implications for grantmaking of major realignments among the public, non-profit, private, and civil sectors, and of the processes and consequences of devolution with its related resurgence of interest in community solutions to social problems.

The new and nearly universal emphasis on accountability, especially for social and educational programs, with all the challenges and cross pressures it promises, is also penetrating the philanthropic world. As a result, foundation boards are increasingly questioning whether their grantmaking strategies are effective and whether they could be reshaped for greater impact. This questioning, in turn, is beginning to generate spirited discussions about criteria for the success or failure of grantmaking strategies, renewed efforts to tease out lessons from past work, and new efforts to make learning an integral part of grantmaking in order to increase the yield of current investments. Foundations are now engaged in more frequent and more penetrating discussions about whether they are achieving their intended outcomes, about whether systems have or have not changed, and about whether and why successful initiatives have or have not been scaled-up. Many foundation officers point to the need to focus grantmaking activities in order to be able to test ideas and build the complex knowledge base and strategies that they believe are necessary to improve the well-being of children and youth. These discussions underscore the foundations' own needs to build the incentives, capacity, and infrastructure for their own learning and to share the lessons they have learned. Some also suggest that foundations may be able to leverage the growing demand for accountability and thereby improve outcomes by promoting more grantee and public capacity to use information for multiple purposes. These purposes include public will generation, promotion of continuous improvement and innovation, and ultimately, creation of stronger and more effective families, communities, programs, and policies that ensure and enhance the development of children and youth.

¹ See Appendix A

² See Appendix C, Table 1

These changes and processes of reflection within foundations make this both a difficult and an important time to try to ascertain the current contours, future directions, and gaps in grantmaking for children and youth. We have attempted to do this through key informant interviews with senior program staff at nineteen foundations.³ These informants generously gave their time to address questions about their foundation's grantmaking priorities and strategies, future plans, and lessons from past experience. They also spoke about their views of the key challenges and opportunities for their and others' future consideration.⁴

While this set of nineteen cannot provide a complete overview of all foundation work in the area of funding for children and youth, it does include many of the largest and wealthiest foundations, as well as many of those that focus their grantmaking exclusively or heavily on children and youth. It includes seventeen of the top thirty funders for children and youth.⁵ This set of nineteen also includes a mix of important national as well as several regional foundations (Duke, Heinz, McKnight, Skillman, Woodruff) and two that exclusively fund research. W. T. Grant funds research on issues related to the well-being of children and youth, and Spencer supports research on education across the age spectrum, including adults. We believe that this sample allows us to assess many of the important current national trends and issues and to contribute to what we hope is a broader and ongoing discussion among foundations about grantmaking in this critical area.

This paper addresses the following questions:

- 1) What is the pattern of funding by age group, level, and sector?
- 2) What are the key lessons from past grantmaking that are informing future work?
- 3) What are the major trends in grantmaking strategies?
- 4) How are foundations reorganizing to develop their new strategies and accomplish their goals?
- 5) What are the gaps, opportunities, and challenges for those who want to improve the status and well-being of children and youth?

We believe that these foundations are raising the bar on their own learning and self-scrutiny. They also increasingly solicit and welcome input and feedback on their work from multiple audiences and partners. Therefore, in keeping with this attitude and with the healthy diversity of informant views on key issues and choices, we will deliberately surface some of the key tensions and trade-offs with which foundations are grappling throughout the paper.

³ See Appendix B #1 for the list of the foundations and the names of those interviewed.

⁴ This interviewing strategy gave us a broad overview of each foundation's work. See Appendix B #2 and #3 for a copy of the pre-interview schedule and interview survey.

⁵ Those we did not interview but which are major funders in this area include Lilly, Robert Wood Johnson, and William Penn. See Appendix D, Table 1, for the Foundation Center's list of the top thirty funders for children and youth in 1995/1996.

I. PAST AND EMERGING FUNDING PATTERNS

As a backdrop for the examination of funding patterns and trends, we asked the respondents to provide rough estimates of their overall funding for children and youth and to give us their judgements about the stability of their foundation's funding commitments across a number of areas. As Table 2 (Appendix C) suggests, these nineteen foundations expect to sustain or increase the high priority they place on their funding for children and youth in the future.⁶ As Table 3 (Appendix C) indicates, several of these funders commit 50 percent or more of their resources to children and youth (Casey, Grant, Heinz, Kellogg, Rockefeller, Skillman, DeWitt Wallace). As Table 3 also suggests, none expects to decrease the share of their payout for children and families in the next three years, eight expect to increase it, and three of the biggest funders are uncertain due to major changes in leadership (Rockefeller, Packard, Carnegie). In dollar terms, the nineteen foundations for which we have data together committed roughly \$569 million in 1996 (note that this figure does not include figures from Pew or Ford's education funding, two of the largest sources of funds in this area). Current and reliable data on funding for children and youth are difficult to get because of issues such as different foundations' definitions of what grants qualify for the children and youth categories (for example, some include education funding and others do not) and time lag in the production of annual reports. The self-reported figures in Table 3, as well as 1995/96 figures from the Foundation Center in Appendix D, each show that Kellogg, Casey, Rockefeller, DeWitt Wallace, Kauffman, Heinz, Carnegie, Packard, and Ford are among the top funders for children and youth.⁷

This overall funding picture suggests some possibility of future stability and growth in the funding for children and youth. There is also some potential instability, however, given the uncertainty about the priorities of several of the wealthiest funders who have made substantial contributions for children and youth in the past (particularly Pew, Packard, Rockefeller, Carnegie). We now examine several important overall patterns with respect to where funding is being directed.

1) Foundations are emphasizing larger, longer, multi-component, often place-based, and community-driven initiatives designed to achieve more impact and more learning to improve outcomes for children and youth.

Both the national and regional foundations surveyed now allocate a very large percentage of their funding to the local level (Appendix C, Table 4).⁸ Several have begun major local and/or place-based initiatives (Casey, Clark, Heinz, Kauffman, Kellogg, MacArthur, Rockefeller, Skillman) or seek to bring new and under-represented groups to existing place-based initiatives (Skillman, Duke). This trend is having a wide and powerful ripple effect across programming areas, and the

⁶ Appendix C, Table 2. When examining Tables 1-5, please note that it is difficult to get precise and current data on funding. Also note that one of the largest foundations, Pew, was unable to provide data on funding allocations, and others could not respond to some questions. These tables therefore provide only a *general* sense of the scale, allocations, and future directions in funding for children and youth.

⁷ These self-reported estimates were provided in response to the question: In 1996 what percentage and amount of your funding went to children and youth (ages 0-20) across all foundation program areas (e.g. education, community and social services, child health, and children, youth, and families)? Appendix D presents the top 30 Funders for Children and Youth in 1995/96 (Table 1); the Top 25 Funders for Children and Youth 0-19 (Table 2), and the Top 25 Early Childhood (0-4) Funders (Table 3).

⁸ Several foundations that have played an important national role in grantmaking for children and youth also have recently shifted their focus almost exclusively to the local and state levels (Danforth, Kauffman, Lilly).

implications of this will be evident throughout this paper. Those supporting these new place-based efforts anticipate that there will be implications and lessons for state and national audiences. While there is a pronounced trend toward these larger place-based initiatives, many national foundations, individually as well as collaboratively, also continue to pursue a wide range of national-level grantmaking efforts with complex field building, policy change, and reform goals designed to improve the status of children and youth.

2) Foundations appear to be placing less emphasis on the zero to five period. This seems to be the case despite the feeling of many in foundations and in the early childhood field that there is a serious need to build the infrastructure for provision of quality early care and education and that there are now significant opportunities to leverage change in this area. These opportunities reflect the current potential for additional public dollars. They also stem from growing public recognition of the importance of early brain development, the cost of effectiveness of quality early care and early intervention, and the importance of child care for the success of welfare reform.

As Table 4 (Appendix C) indicates, most of the foundations included in this study direct the majority of their funding to the 6-20 age group. Nonetheless, most maintain at least some grantmaking in the 0-5 group. The pattern of future investments and overall strategy in the early childhood area is unclear because of two factors: uncertainty about what several foundations which previously had a big role in early childhood will do in the future (Carnegie, Ford, Mott, Packard, Pew), and the fact that others have moved to place-based or other grantmaking efforts where age-related services are secondary to their strategy or goals. Several foundations identified early childhood as an area needing serious attention now because of the policy and public attention on childcare per se and because of the importance of strong early childhood services to the success of their investments in schooling (e.g., school reform) and youth development for the older 6-20 age group.

A brief overview of recent and current early childhood grantmaking suggests that foundations have contributed significantly to the increasing public awareness of the importance of quality services to support early childhood development. They have also helped develop some of the infrastructure necessary to build high-quality early care and education services.⁹ Carnegie has played a major role in getting the importance of increased investments in early childhood years onto national and state policy agendas and into the public consciousness through its Starting Points project and related work. This has created the potential for expansion and integration of services in early care and education and for quality improvement. The Center for the Future of Children at Packard played a key role in distilling and communicating the research in support of the cost-effectiveness and other benefits of early childhood efforts. In the recent past, Pew's national policy focus on children and families has been critical in promoting the provision of cost-effective quality child care and in helping to ensure that publicly financed managed care programs provide quality preventive health care. Several regional (Heinz, Kauffman, Skillman) and two national foundations (Kellogg, Packard) have major local and state

⁹ Our research did not provide a picture of grantmaking in children's health. This is an area where there are substantial investments from foundations such as Robert Wood Johnson. See Appendix D, Table 3, for a list of the top early childhood funders in 1996.

initiatives underway. They seek to improve access, quality, training and professional development, financing, and the integration of family support, early care and education, and broad community-building efforts. It should also be noted that several foundations now emphasizing place-based initiatives are including early childhood initiatives within this work (Casey, Kauffman).

Newer initiatives include:

- 1) Heinz's multi-component strategy and substantial financial commitment to create a system of community-based, high quality early care and education services in Pittsburgh, with the eventual goal of redesigning public financing to sustain and scale-up more quality services
- 2) Kauffman's emphasis on leadership development, training, and system-wide quality improvement in early childhood care and education (Starting Right) as a major component of its new lifespan developmental approach to improving outcomes for the most disadvantaged
- 3) Kellogg's Joining Forces, a child care partnership with other Michigan foundations and their new Zero to Three initiative.

Our review suggests that much of the activity in the early childhood area is now more focused at the local, regional, or state rather than the national level. While the current types of grantmaking will yield lessons for other localities, several funders expressed concern that there is not enough grantmaking directed at the "national field" or to intermediaries to continue to provide the knowledge development and research base, the public will and constituency building, the best practice dissemination, the public policy development, or the professional capacity for the field.

Current cross-foundation leadership and field-building efforts in the early childhood area are provided by the fifteen or so members of a several-year-old affinity group, the Early Childhood Funder's Collaborative. They have begun to address the need for work at the national level. This group put together \$2.4 million to expand and diversify the field's leadership in order to build the capacity of the early care and education field to increase program quality. The group is now determining the next issue that could benefit from funders' coordinated work. Marge Petruska, the new chair, said the focus is on three questions for future work:

- 1) How can the Early Childhood Funder's Collaborative be used to advocate for the importance of quality in early care and education and to secure increased public and private investment in the field?
- 2) Where is the field with respect to public education and communication, and how effective have past efforts been?
- 3) Who will support the national infrastructure and intermediaries necessary to build the field, and what are the current and potential roles of regional and national foundations in this regard?

These questions reflect larger issues that arise as funders struggle with numerous concerns. Some of these involve how to learn from and scale-up the new round of comprehensive local or place-based initiatives. Others relate to whether a focus on strengthening community and efforts to integrate development of place and people have more potential to improve outcomes than funding strategies focused on age groups, systems, or services.

3) Youth development is an area of substantial interest in and of itself and because it is increasingly a bridge for more crosscutting work within the foundations. In the youth area, there is currently widespread concern about building the national infrastructure and intermediaries to increase public will and understanding, inform public policy, and strengthen the capacity for scale-up of the largely community-based work to date.

Most of the foundations surveyed have stable commitments to the youth development area and support a range of research and service demonstrations, and, often, local capacity building activities. As Table 4 (Appendix C) indicates, children and youth ages 6-20 receive the bulk of foundation funds, and our interviews suggest that these funds are allocated to education, youth development, and school-to-work initiatives. Several informants noted what they see as an unfortunate tendency to separate education and youth development grantmaking within and across foundations. However, a number said that they have built or are now trying to build bridges between their education and youth development grantmakers and grantmaking (Carnegie, DeWitt Wallace, Ford, Heinz, Kauffman, Kellogg, MacArthur, Mott). This is being done in an effort to do more crosscutting work and to build more comprehensive and integrated strategies that link schools and other youth-serving community organizations, and, thereby, improve outcomes. In conceptualizing what is necessary for middle school reform and performance improvement, Carnegie and several other funders, for example, have supported a range of models of school-linked services and school-community collaboration.

As an emerging field, youth development has a shared set of operating principles emphasizing positive, asset-based youth development and youth participation in initiative design and community-building ("community youth development"). There are many examples of how this has infused grantmaking, including: 1) Kellogg's long-term Youth Initiatives Program, including their current efforts to work with community foundations to involve youth in community grantmaking; 2) Ford's support for the Washington, D.C.-based Funds for The Communities Future Organization, a youth-initiated effort engaged in community improvement activities, school-based leadership training, and mentoring of young people; and 3) Heinz's use of neighborhood youth advisory councils to build youth leadership into their new Youth Places initiative in Pittsburgh's highest-risk neighborhoods. New thinking about youth development grantmaking is suggesting that this area can serve as a powerful stimulant to move foundations from categorical to multiple and linked approaches that create synergy among and add value to several areas simultaneously. The foundations stress that they are actively exploring areas for natural collaboration and joint grantmaking initiatives within their own organizations as well as with other funders.

In addition to youth development and education, other crosscutting areas currently being explored include youth and the arts (Heinz, MacArthur), youth and community development (Ford, W.T. Grant, Heinz, Kauffman, Kellogg, MacArthur, Kellogg, Rockefeller), youth and family development (Casey), and potential two-way connections between domestic and international youth development work (Kellogg, Carnegie, Ford). The latter would emphasize preparation for community as well as global citizenship. Carnegie, for example, is examining possible points of intersection between its youth development and international conflict prevention work. Noting that this is not yet a field, Carnegie has begun to pull together research about the civic attitudes and international knowledge of American youth. Ford and Kellogg have begun to tap their international staff for examples of youth work that might have applications in the United States. Ford has also established an international learning group on community and youth development.

There is widespread agreement among youth development funders that the field needs to "move to the next level." The field has developed through a bottom-up strategy. It now requires a new and different one with substantial attention to infrastructure and capacity building to scale-up and sustain youth work and the attention to positive youth development. Several foundations are working on strands of the capacity building agenda, including training, leadership, and professional development (Clark, DeWitt Wallace, Ford, Kauffman, Kellogg, MacArthur). DeWitt Wallace has made a substantial commitment, 40 percent of its grantmaking, to strategic long-term investments that support the professional development of those who work with young people, including teachers, school counselors, and youth workers. It also supports dissemination of best practices, model replication, and efforts to strengthen the capacity of existing institutions serving youth, such as public libraries. Rather than focusing on the community and system levels, the Edna McConnell Clark Foundation is developing a new program in youth development that will focus on field building and national intermediary creation.

One informant noted that part of moving to the next level will entail building the positive youth development research base and reducing the fragmentation of this field. Much past research has been problem- or deficit-focused, and there is now a substantial need for more research-based understanding of what promotes positive youth development. There is also a need for more evaluations of youth programs to increase the knowledge about best practices.

Many youth funders belong to one or more "affinity" groups, which meet to share information, and to think together strategically about issues of mutual concern (e.g., school reform, the infusion of youth development principles across youth-serving institutions, and better preparation and professional development for those who work with youth). This is helping to reduce some of the fragmentation and strengthen the field. The Youth Development Funders Group, for example, meets to share ideas, learn together, and strategize about how to give youth work more prominence within foundations as well as nationally.¹⁰ Some members feel that this or another such group

¹⁰ Other youth development affinity groups include the Program Directors Group, composed of the major national youth funders; the Youth Transition Funders Group, for those who work on school-to-career issues; and

may be ready to take further steps, such as convening intermediaries to develop a plan to increase the field's knowledge base or developing possible joint funding options. This is an area, some argue, in need of funders' forums and further conversations about how to work together, not on a project, but on a more strategic basis in order to strengthen this field.

4) Past national foundation funding for education has focused on systemic school reform based on standards aligned with curriculum, teacher training, and professional development and accountability. Several informants argue that this should be followed up with a focus on practice, teaching, and learning; and the capacity building, knowledge development and dissemination and public engagement efforts necessary to build on the standards, increase public support for education reform, and improve outcomes.

Several national foundations created the infrastructure that now underpins standards-driven reform (for example, the National Board for Professional Teaching Standards and the New Standards Project) and, as a result, they were successful in changing the nature of national and sometimes state policy discussions. Some funders suggest that this reform approach and funding strategy were less successful in changing what happens in schools and classrooms than in policy discussions and they are rethinking the future directions for their grantmaking in this area.¹¹ Several are now investing in very comprehensive place-based school reform, involving teachers, administrators, parents, and community (Casey, Clark, Ford, Kauffman, Kellogg, MacArthur, Rockefeller, Skillman, Woodruff). Woodruff invests heavily in the expertise of public higher education institutions to support local school reform initiatives and pre-college programs for underachieving college-bound students.

Given this emerging assessment of where the next strategic opportunities and needs are in education, with the new emphasis on practice, professional development, and local change, it is noteworthy that education funders are struggling anew with ways to create better connections among practice, research, and policy. Several point to a troubling gap in the knowledge-practice connection. They envision the connection ideally as a two-way relationship whereby researchers learn from, truly inform, and add value to practice, and practitioners enrich research and increase its relevance and opportunities for application. There is also growing interest in thinking through better mechanisms for dissemination to practitioners. Spencer, whose mission is education-related research, is actively seeking proposals for high-quality research on practice. Considerable thought is also being given to how to use information to inform and engage the public and create a constituency for public education and reform (Carnegie, Casey, Ford, Kellogg, MacArthur, Pew). MacArthur is very intentionally trying to create new relationships among research, policy, and practice in order to create more effective communities through its new internal reorganization (in the programs on human and community development) and in its support of its interdisciplinary research networks and Chicago grantmaking. Several other foundations, including Kellogg, with their new Devolution Initiative, are examining the research-practice-policy connection in their non-education-related grantmaking. These foundations are

Grantmakers for Children, Youth and Families, with a diverse membership of large and small, local, national and regional, and corporate as well as private foundations.

¹¹ It should be noted that the education affinity group, Grantmakers for Education, was recently reconstituted.

beginning to create a dialogue across the two cultures of research and practice, and their experiences and lessons will likely have implications beyond education grantmaking.

In an effort to build a more comprehensive, effective, and developmental approach to improving the life chances of children, a number of foundations also are deliberately funding and assessing initiatives that span developmental periods (for example, 0-8+ instead of 0-5), as well as linking key service delivery systems (for example, early childhood, health, family support, and elementary education). Literacy is emerging as an important new area for such cross-age and cross-institution or delivery system grantmaking.

Several foundations are also funding initiatives to strengthen family, school and community partnerships and create community schools that provide an array of educational and non-educational services. Such efforts are bringing together foundation staff across several areas, including education, early childhood, community development, and youth development to plan and oversee them. The Mott Foundation's new partnership with the U.S. Department of Education to fund the evaluation and technical assistance piece of the Department's 21st Century Learning Center initiative is an example of one large scale effort to build such comprehensive services, and a knowledge base to support them, as a component of education reform.

5) At present, relatively little funding is directed at the state-level, and foundations are just beginning to consider the overall and direct implications of devolution for their grantmaking for children and youth. There are no clear strategies for how to build state-level and intergovernmental public, civic, and non-profit capacity to handle devolution of responsibility for key child, youth, and family programs and policies.

As Table 4 (Appendix C) shows, the vast majority of grantmaking for children and youth is directed at either the local or national levels,¹² and we did not hear about many new or anticipated state-level initiatives. Two foundations that have historically supported state-level systems reform and capacity building, Casey and Kellogg, are funding devolution-related research and state capacity building efforts. Both Edna McConnell Clark and Casey are somewhat de-emphasizing state-level child welfare systems reform work in favor of local place-based strategies. This emphasis on place-based work, however, does not necessarily eliminate efforts to create state-level change. The Clark Foundation, for example, has provided grants in states where they have place-based child protection reform initiatives in an effort to create demand for and build capacity to scale-up best practices and policies. Casey is combining its new place-based initiative with its systems reform and economic development work to create greater leverage for more substantial policy changes at the state level. Others are investing in efforts to build state capacity and leadership around devolved responsibilities in early care and education (Carnegie, Heinz, Kauffman, Kellogg). On the one hand, given political and administrative turnover and term limits for elected officials, several national and regional foundations noted the difficulty and complexity of working at the state level on major initiatives and reforms. On the other, they also stressed the necessity of building public sector capacity

¹² It is noteworthy that this pattern has not changed since we wrote a similar paper in 1995.

because of the devolution of responsibility for child- and youth-related issues to state and local levels. Several foundations indicated a need for and an interest in more informal cross-foundation conversations about state-level issues and strategies.

6) Foundations continue to invest in community-focused prevention and do not direct much funding to the deep-end of the service continuum (child welfare and juvenile justice). There is growing awareness that these latter services cannot be ignored in the broader movement toward more community-based work.

Funding for deep-end services has not been high in the past, but several foundations that have historically invested in these areas do continue to support efforts to strengthen or reform these services (Casey, Edna McConnell Clark, Duke, Kellogg, MacArthur, McKnight, Skillman). The scale, complexity, and seeming intractability of child welfare and juvenile justice issues and the possible potential pay-off of investments in preventative efforts have convinced others not to fund in these areas.

As one program officer noted, however, children and youth involved in the child welfare and juvenile justice systems are among those that communities would most like to involve and serve more effectively in their youth activities. The officer argued that there is significant potential benefit to thinking through new approaches to community-based foster care and the preparation for the return of juvenile offenders within the philosophical framework and services offered by the positive youth development. DeWitt Wallace and other funders of youth development, for example, have funded the Child Welfare League of America and the National Network for Youth to work with the U.S. Department of Health and Human Services (HHS) to infuse positive youth development, knowledge, and philosophy into child welfare practice. HHS has used this work in preparing their guidelines for support of independent living services in child welfare agencies and in runaway and homeless youth programs. This strategy of infusing the youth development approach into new areas as well as other experiences with community-based work may change the nature and framing of conversations about deep-end services and suggest some innovative ways that foundations can leverage change in child welfare and juvenile justice systems. Creating conversations between those who work at deep-end service reforms and those who work in youth development might be a good first step.

II. KEY LESSONS FROM PAST GRANTMAKING THAT ARE INFORMING CURRENT AND FUTURE WORK

Over the past few years, the emphasis on strategic planning and the growing pressure to focus grantmaking for greater impact have resulted in increased efforts to learn from past successes and failures. Strategic planning has emphasized specification and clarity about goals and outcomes and the strategies to achieve them. Such specification has become more routine as program officers are asked to report on the value-added of their grantmaking in regard to the fields in which they work and with respect to the larger social issues they are attempting to address. Through their work, several foundations have also commissioned retrospective reviews as part of their efforts to gather lessons from past grantmaking to inform their strategic planning work. Those we interviewed described many accomplishments in their grantmaking for children and youth, while also noting some important lessons that have influenced their current work. The interviews suggest that foundations are rethinking the organization of their grantmaking for children and youth and their theories for field building and scale-up of successful programs, policies, and practices. The key lessons and emerging theories are described below.

1) Recognizing that the interconnected problems of children, especially disadvantaged ones, require comprehensive solutions, and frustrated with the limited impacts of piecemeal approaches, several foundations within our study are now concentrating many of their resources on long-term, comprehensive, place-based community strategies designed to improve outcomes for children and youth.

Arguing that categorical and fragmented approaches will not work, and that it is critical to understand and support development in the context of neighborhood and community, these foundations are developing complex and multi-faceted local initiatives to maximize learning and impact. Several are focusing on their home cities and others on sites that they have chosen based on design criteria (not exclusively proposal quality). MacArthur, for example, is testing the theory that it is possible to achieve better integration between research and practice, as well as more comprehensive services, and that this will improve outcomes for children and youth. Building on lessons from their Project Choice Initiative (1987-1996), Kauffman is testing whether they can implement their newly developed human development and engaged grantmaking model and thereby improve outcomes in their Kansas City urban core neighborhoods. Over the next five years, the Casey Foundation, building on lessons learned from its past state and community work, will work with a limited number of sites to develop, demonstrate, and test the theory that negative social environments in distressed neighborhoods can be transformed into family-strengthening environments. The Children, Youth and Families Division of Heinz Endowments is developing its Early Childhood Initiative partly to create a more comprehensive and continuous set of supports for child and youth development in Pittsburgh's most disadvantaged neighborhoods. There is substantial overlap both in the lessons these foundations cite as the basis for their new community-based efforts as well as in the multi-component change strategies they are developing to do this work.¹³

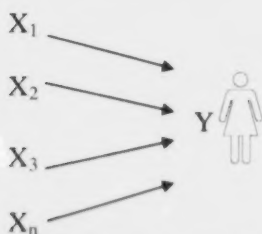
¹³ See *Project Choice: Lessons Learned*, (Kauffman) 1996 and *The Path of Most Resistance*, (Casey) Aug. 1995.

These and other foundations are moving away from categorical to more holistic and comprehensive approaches in their grantmaking. Further, some are reshaping their internal organizational structures, grant solicitation processes, and review procedures to facilitate these approaches. Diagram 1 on the following page illustrates the way this grantmaking appears to be changing.

DIAGRAM 1

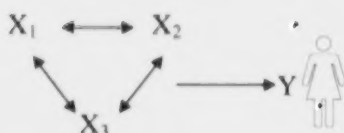
Organization of Grantmaking for Children and Youth

Figure 1. Multiple and Categorical Services



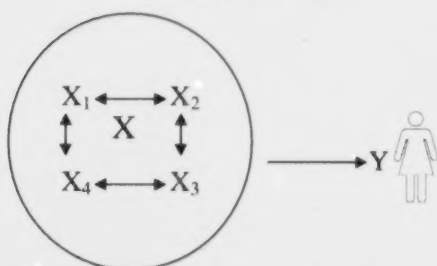
Foundations simultaneously support program areas such as education, health, social services, training, and employment to produce positive outcomes for children and youth.

Figure 2. Multiple and Linked Services



Foundations decategorize their own program areas and support linked services. This may take the form of comprehensive services at the community level or new initiatives that connect, for example, health and education or arts and education. Still another variant is the creation of activities to support child development in the context of the home (e.g., parenting programs), school (family involvement), and community (after-school programs).

Figure 3. Integrated Infrastructure



Foundations begin to link service delivery with other components to build the infrastructure for institutionalization and scale-up. This approach begins to integrate service delivery with education and knowledge development, evaluation and continuous learning, leadership and professional capacity development, communication and dissemination, and public engagement.

Source: Adapted from Watson, G., & McGaw, D. (1980). *Statistical inquiry*. New York, NY: Wiley.; and Rockefeller, D., & Cobb, W. (1994). *The politics of problem definition*. Lawrence, KS: University Press of Kansas.

The first approach (Diagram 1, Figure 1), "multiple and categorical services," refers to the simultaneous funding of different and unconnected program areas. Each area develops its own strategy but remains isolated from other program areas. Key informants recognize that this pattern of grantmaking can have limitations because the issues concerning children and youth are complex and often interrelated, and therefore require more linked or integrated policies and services. Therefore, some foundations are moving to the pattern of "multiple and linked services" (Diagram 1, Figure 2), which represents an attempt to build more comprehensive approaches and services to support child and youth development. This may take the form of

linking program areas (for example, maternal and child health care), or developing continuous and thematic grants (for example, linking home, school, and early childhood community), or adopting place-based strategies.

Some foundations are moving to an even more comprehensive pattern of grantmaking (Diagram 1, Figure 3). The "integrated infrastructure" pattern is designed to build the infrastructure for field building, scale-up, and sustainability. It consists of creating the linkages among service delivery, knowledge development, communication and dissemination, and public engagement-components that foundations believe to be essential for long-term, scaled-up initiatives. Several have begun to reorganize internally to facilitate this more integrated approach.

2) In order to facilitate more comprehensive approaches, a number of foundations are reorganizing in major ways.

Some foundations, such as MacArthur, have moved from designation of program officers for categorical areas (e.g., education, community development) to structures which integrate and encourage collaboration among substantive specialties and across the arenas of research, policy, and practice. In another example, to facilitate movement to the integrated and strategic grantmaking judged necessary to achieve its goals of transforming neighborhoods and of using the resulting lessons to drive wider policy and practice changes, Casey has realigned its staff into six units. These include: policy reform and initiative management; evaluation; neighborhood transformation and family partnerships; community initiatives; research and development; and external affairs (responsible for public will building, communication, and dissemination). To facilitate more crosscutting and integrated grantmaking, other foundations: require dual or team reviews of grants and program strategy papers; include communications and evaluation staff in initiative design and implementation; or provide incentives (extra dollars for the portfolio) in order to encourage more substantive and functional (evaluation and learning and dissemination and communication) linkages and the more crosscutting grantmaking illustrated in Figures 2 and 3.

3) Foundations emphasize that knowledge development, dissemination, and continuous learning are crucial elements for effective grantmaking for children and youth.

Another critical factor that is influencing both the internal reorganization of foundations and their grantmaking strategies is that, while every effort should be made to understand and bring to bear the knowledge base in a field or area for grantmaking, it is often inadequate or simply not there. This fact, along with the growing demand for evidence about the effectiveness of programs, initiatives or change strategies, has led many of the foundations to build a proactive approach to knowledge development, continuous learning, and evaluation into their grantmaking from the outset. With one exception, every foundation reported that evaluation is now a more important element of their grantmaking for children and youth than was the case in the past. At the same time, many reported frustration that available knowledge is rarely used to inform policy or practice. Therefore, many foundations are building communication and dissemination into their grantmaking strategies. The vast majority noted that communication and dissemination are increasingly important aspects of their work, and many indicated that they are built in from the start for a variety of strategic purposes (e.g., dissemination of lessons learned, public will and

early learning constituencies building, creation of demand for the new policies necessary to scale-up successful initiatives).

4) Foundations are reassessing their own theories of what is necessary to scale-up and sustain effective programs, ideas, policies and practices. Many are moving from a linear or sequential to more complex theories of scale-up and sustainability.

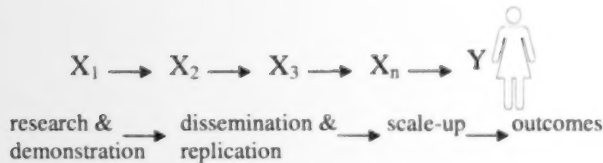
Over the past decade or more, foundations have also struggled with issues at the heart of their grantmaking, those around the scale and scale-up and sustainability of effective programs, practices, or policies. They are devising funding approaches that will leverage bigger changes through strategic investments in particular fields, types of activities (e.g., professional development, leadership training, networking), and particular combinations of activities (e.g., leadership development, networking). Most have also begun to develop strategies that create the demand for and the capacity to support more widespread and sustainable scale-up and change. During its recent strategic planning work, for example, DeWitt Wallace established the funding principle that it would invest in fields rather than model program development. They identify an area of promising work that has the potential for widespread enhancement of youth development (e.g., school counseling). Then they develop large multi-component grantmaking initiatives that include support for training institutions to build professional capital and for national professional organizations to set standards, generate the will to change practice, disseminate and replicate promising models, and shape a sense of professional identity. Other foundations will sometimes help create or merge fields. All are working to become more strategic and intentional with respect to how they use their limited resources to build the will and capacity to scale-up and sustain effective programs, ideas, policies, or practices.

Our interviews also indicate that foundations are rethinking their basic ideas and assumptions about how to create and sustain change in order to improve the status and well-being of children and youth on a more widespread basis. As Ralph Smith of Casey put it: "I don't think we yet have a clearly enough articulated theory of change on policy impacts and scale-up — how to get from successful multi-site demonstrations to the changes in national, state, and local policy needed to build on the learning." In the past, much grantmaking was based on the common theory of linear sequential change. This is illustrated on the following page in Diagram 2.

DIAGRAM 2

The Sequential Theory of Field-Building and Scale-Up in Grantmaking for Children and Youth

Sequential Change



Foundations assume leadership in creating innovative programs and policies with the assumption that government/others will support the scale-up of programs, initiatives, and/or best practices with demonstrated effectiveness.

Our interviews indicate that many of the foundations are rethinking this linear model and the assumptions behind it. They are creating alternative models based on emerging new theories of change, scale-up, and sustainability and funding large, multi-faceted initiatives based on them. We describe these new models and will illustrate them with specific examples drawn from the work of the Heinz Endowments and the Annie E. Casey Foundation in the paper's next section.

III. MAJOR TRENDS IN GRANTMAKING STRATEGIES

Based on their own critiques of their past grantmaking experiences and their strategic planning work, foundations are building larger child and youth initiatives around more comprehensive and simultaneous theories of change. While their overall strategic grantmaking direction and allocation decisions are based on critical factors such as the foundation's mission, assessment of niche, resources (financial and staff), and judgments about strategic opportunities, they report that from the outset, they are more likely to try to factor in elements that they believe will increase the chances of learning, scale-up, and sustainability. Most of the foundations in this study fund in all the major grantmaking categories: knowledge development, capacity building, public policy development, dissemination and communication, service delivery (especially application or replication of best practices), public engagement, and community development. (See Appendix C, Table 6, for each foundation's patterns with respect to funding for these major grantmaking categories.) However, what is especially interesting is the way that they are putting the elements together into larger strategies from the start.

These larger strategies are complex. In order to illustrate them, we first present a basic, overall model, then describe the components of the model, and finally present examples of how the model is currently being developed at two foundations. Diagram 3-1 on the next page reflects the essence of what many of our informants told us about their current and new grantmaking strategies. It illustrates a simultaneous and multi-component theory of change and scale-up that, over time, is expected to help solve the problems of scale-up and sustainability and produce better child and youth outcomes on a broader scale. The theory is that simultaneous and multi-component strategies (X_1) will lead changes in the operating environment (X_2), which will create the demand, conditions, and capacity for scale-up and sustainability of programs, policies and problem solving (X_3). Many foundations, particularly those with large child and family initiatives, have all or many of the components noted at point X_1 in the model, including: these include: planning, demonstration and research; field development and expansion activities; and public will and engagement work. Some foundations also have components of X_2 , including efforts to build the infrastructure, make the policy changes, and create the public will necessary for scale-up and sustainability.

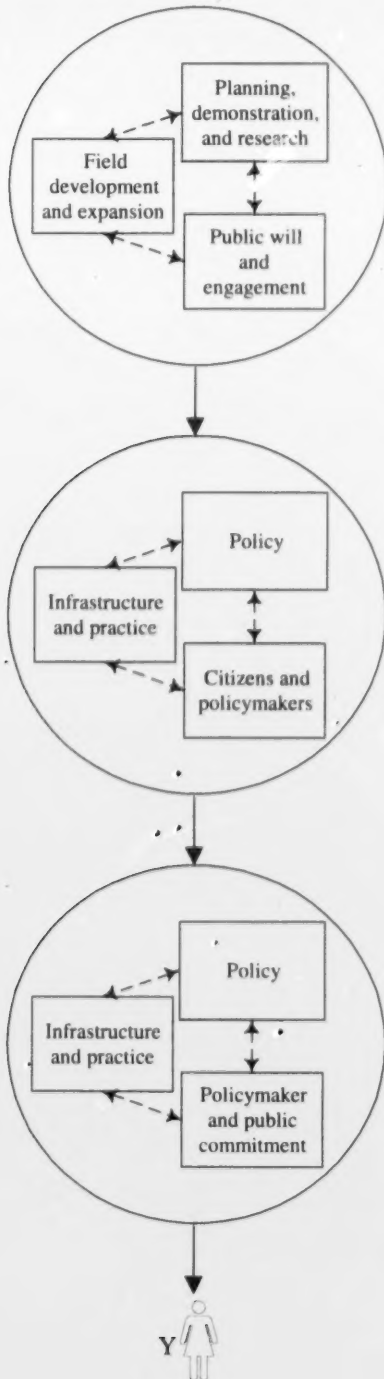
The diagrams on the following pages (Diagram 3-1.1, Preparing for Scale-Up; Diagram 3-1.2, Creating Demand, Conditions, and Capacity for Scale-Up; and Diagram 3-1.3, Scaling-Up Policies, Programs, and Problem Solving) focus on the specific components of the model, including examples of the types of activities being supported.

DIAGRAM 3-1

The Simultaneous and Multi-Component Theory of Field-Building and Scale-Up in Grantmaking for Children and Youth

Comprehensive and Simultaneous Change

Foundations assume leadership in creating the demand among public policymakers and citizens for scaled-up initiatives.



**X₁: Simultaneous and Multi-Component Strategies
Preparing for Scale-Up**

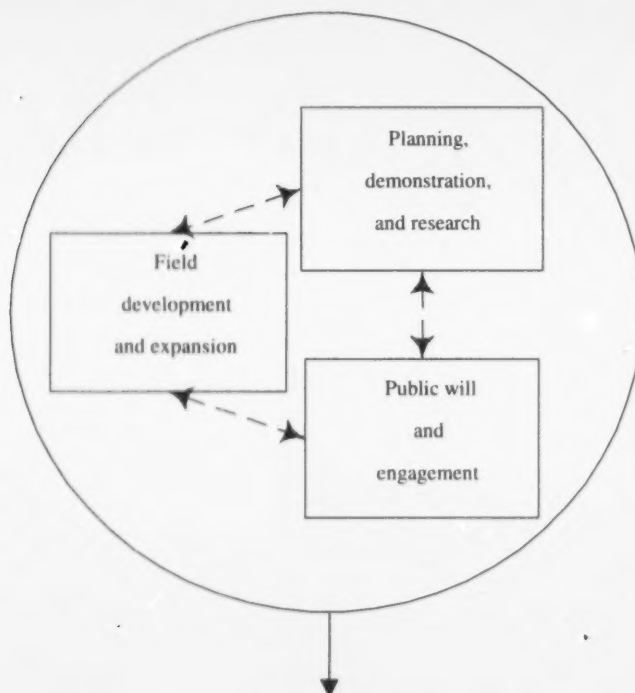
**X₂: Change in Operating Environment
Creating Demand, Conditions, and
Capacity for Scale-Up**

**X₃: Scale-Up and Sustainability
Scaling up Policies, Programs,
and Problem Solving**

**Y: Outcomes
Producing Better Child and Youth
Outcomes on a Broader Scale**

DIAGRAM 3-1.1

X₁: Simultaneous and Multi-Component Strategies: Preparing for Scale-Up



Field development and expansion

- recruit, prepare, and build skills of professionals
- promote broader and build new leadership
- deepen capacity of existing legal infrastructure
- create new institutions to fill gaps in knowledge and policy development
- create intermediary organizations
- strengthen professional organizations and networks
- promote continuous learning
- replicate and adapt models

Planning, demonstration, and research

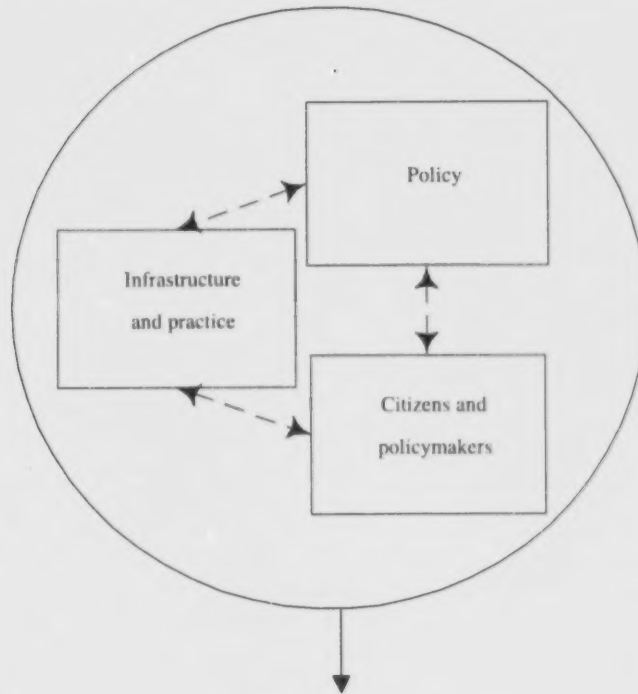
- build knowledge base and models
- understand public perception of issues
- channel knowledge into policy
- develop capacity and public engagement
- use knowledge for strategic investment
- create internal and external learning to shape model development and other component strategies

Public will and engagement

- inform public on issues
- build constituencies for public institutions/services/policies
- strengthen grassroots organizations
- support community foundations

DIAGRAM 3-1.2

X₂: Change in Operating Environment: Creating Demand, Conditions, and Capacity for Scale-Up



Infrastructure and practice

- access to knowledge and distillation of best practices
- continuous learning and evaluation
- support for research and demonstration
- use of technology to disseminate best practices
- new institutions and intermediary organizations offer training and technical assistance
- capacity to adapt and transfer models to new locations

Policy

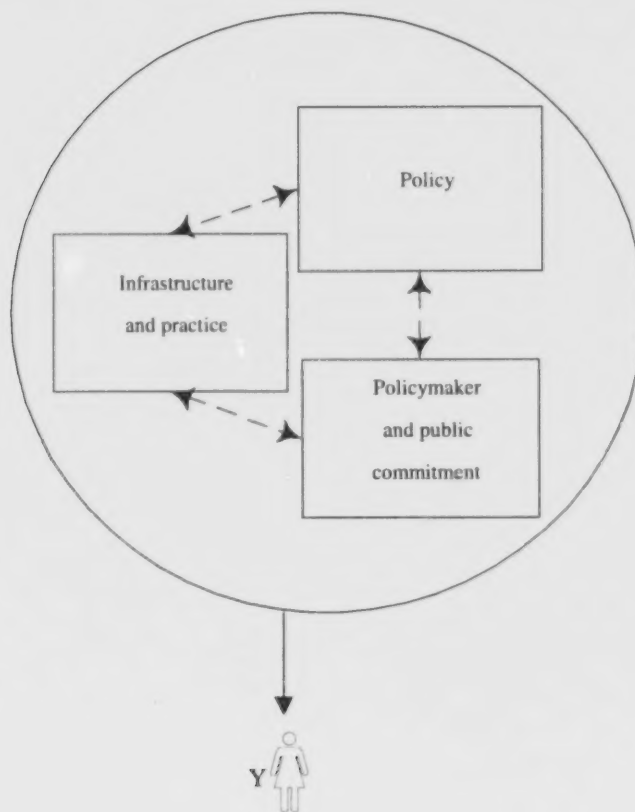
- demand for policy changes and new knowledge
- continuous learning
- ongoing support for research and demonstration
- use of technology for technical assistance and dissemination
- favorable conditions for reallocation of resources to support change
- demand for greater accountability

Citizens and policymakers

- access to knowledge base
- continuous learning
- dialogue among citizens, professionals, and policymakers
- skills in problem solving
- demand for data to create climate for change
- use of technology
- networks of action

DIAGRAM 3-1.3

X₃: Scale-Up and Sustainability: Scaling up Policies, Programs, and Problem Solving



Infrastructure and practice

- new leaders with diverse membership
- community of learners
- strengthened infrastructure
- professional and organizational capacity for successful scale-up

Policy

- new policies and resources to support scale-up
- community of learners

Policymaker and public commitment

- demand and support for scale-up
- inclusion of multiple voices
- community of learners
- community mobilization and action
- strategic local philanthropy

This newly emerging theory of change draws from our informants' descriptions of the strategic thinking behind some of their recent or new initiatives. These include:

- Carnegie's Early Childhood Starting Points and Middle Grades Initiatives
- Casey's Neighborhood Transformation/Family Development Initiative
- Clark's place-based child protective services initiative
- Ford's grantmaking to improve teaching and learning
- Heinz's Early Childhood Initiative
- Kauffman's Youth Development Initiative
- Kellogg's Middle Start and Devolution Initiatives
- Pew's grantmaking to support education reform
- DeWitt Wallace's grantmaking for youth development, including the Pathways to Teaching Careers program.

While this simultaneous and multi-component model is an amalgam of several foundations' strategies, we believe that it both represents and can be used to further specify the particular combinations of activities that many of them are developing to increase the impact of their grantmaking for children and youth. It should be critiqued to determine its utility as a way of representing and examining emerging foundation strategies. One of our foundation informants, on receiving an early draft of this paper, suggested, for example, that the model needs to be modified and refined to better reflect and guide the development of large-scale, systemic reforms of existing institutions, not just the scale-up of new programs, policies, or practices. As part of its strategic planning, the Children, Families, and Communities program of the David and Lucile Packard Foundation has developed a parallel model of strategic grantmaking, which addresses many of the same issues. We believe that the process of making theories of change clear, as well as the particular theory of scale-up and sustainability described here, can enable foundations to design and leverage their grantmaking to create more impact for children and youth. As many of those trying these theories of change noted, the strategies are at a very early stage and the results are still very uncertain. They expect to build, further specify, and modify the theory and their grantmaking strategies as they progress and assess the progress and results. Meanwhile, specification of the model in the first draft of this paper has stimulated several foundations to articulate their own theory and further refine the model presented here.

Heinz's new Early Childhood Initiative (ECI) and the Casey five-year strategic plan anchored in their new neighborhood initiative illustrate this newly emerging approach to grantmaking, so we describe them in some detail below. The Heinz example illustrates the first part of the model, X_1 (Simultaneous and Multi-Component Strategies), and the Casey example shows the links between X_1 and X_2 (Change in Operating Environment). Heinz is operating at the local and Casey at the national level.

Heinz's new ECI effort draws on lessons from much of their health and human service work over the past ten years. Heinz staff have worked with their board to develop a new strategic and opportunistic approach to grantmaking for the ECI initiative. It entails building in their past neighborhood-driven efforts to strengthen families and neighborhoods and thereby improve the life chances of children in Pittsburgh's poorest areas. The ECI entails taking a risk and making a long-term investment that only a foundation in partnership with other funders (United Way and community foundations) can assume: creation of high quality early care and

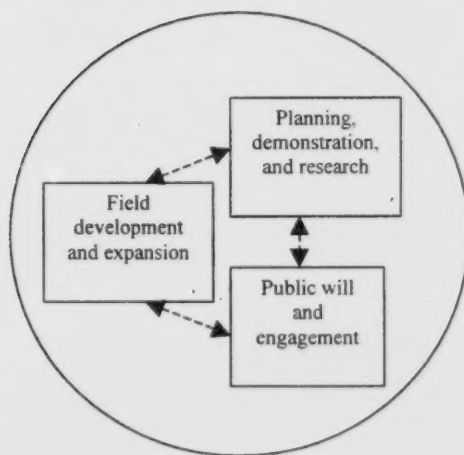
education programs for every child in the area with the eventual goal of public assumption of the responsibility for financing this scale and quality of service. Working collaboratively for several years with the public, private, non-profit, and philanthropic communities, as well as neighborhood representatives, Heinz has laid out their vision, goals, business and financing plan, benchmarks, and outcomes.

From the outset, the Heinz Endowments have developed a strategy to prepare for scale-up (X_1) and to create the demand, conditions, and capacity to achieve it (X_2). Their financing plan gives them several years to achieve their scale-up goals - both implementation of high quality neighborhood-designed care in all the target neighborhoods and the policy goal of public assumption of the financing required for sustainability. To try to achieve this, their strategy has the three components in circle X_1 on the model: 1) planning, demonstration, and research; 2) field development and expansion; and 3) public will and engagement. The particular strategies and related grantmaking activities that Heinz Endowments has undertaken in each of these three are described in diagram 3-2 on the next page.

DIAGRAM 3-2 Heinz ECI Strategy

X₁ Simultaneous and Multi-Component Strategies

Preparing for Scale-Up



1) Planning, demonstration, and research

- build on what works, create models that reflect best practice
- build on and link with existing services to create more comprehensive, neighborhood-based systems of early childhood family support
- understand public perceptions of the issues and engage multiple stakeholders (including neighborhood and consumer representatives) in overall planning and choices of neighborhood service models
- ensure that diverse voices are represented and heard throughout the process
- develop capacity for continuous internal and external learning to help develop the effort and assess progress and outcomes
- position evaluation to assess individual, system, and community outcomes.

2) Field development and expansion

- fund evaluation and continue to position it both to help develop and to assess ECI
- build the capacity of local non-profits to conduct advocacy, training, research, and policy development (build and support local infrastructure)
- develop professional capital and leadership (training, professional development, accreditation)
- strengthen professional organizations and networks
- work with educational institutions and certification groups to increase number and quality of providers and accredited centers.

3) Public will and engagement

- develop public engagement, strategic communication, and constituency building work
- create a broad collaborative, public/private partnership and engage them in design and overall strategy development
- inform public on the issues (ongoing through periodic reports on the status and needs of Pittsburgh and Pennsylvania's children)
- strengthen grassroots organizations
- build collaborations with community foundations and other funders (United Way).

These activities are designed to create the demand, conditions, and capacity for scale-up over the next few years. The success of the effort will be measured in terms of individual systems and policy change. It will also be measured according to whether or not it achieves the scale-up goal: sufficient public financing to continue to provide high quality early care and education in these neighborhoods and perhaps beyond.

The Casey work illustrates the X_1 to X_2 sequence in the model. Casey is putting together a comprehensive, simultaneous and multi-component plan that leverages their past investment and learning and tries to prepare for scale-up and sustainability of promising and proven practices and policies from the outset. Their past investments in creating the national data, media, and professional infrastructure for improvement in the well-being of disadvantaged children make mutually reinforcing contributions to their emerging strategy. These past investments include:

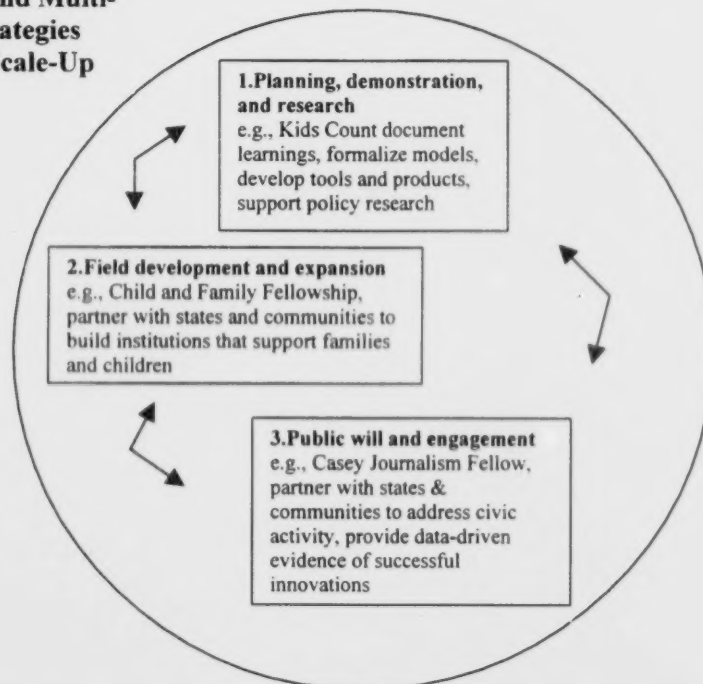
- The Kids Count project provides state and increasingly local yearly data and publications on the status of children and youth. It also builds the capacity and demand to use data for decision-making and accountability and for increasing public engagement on children's issues

- The Child and Family Fellowship program for mid-career professionals builds the skills and knowledge of the decision-makers and public managers for children's services
- The Casey Journalism Fellows Program for reporters builds the engagement and knowledge base of reporters covering children's issues leading to better and more sustainable information for the public.

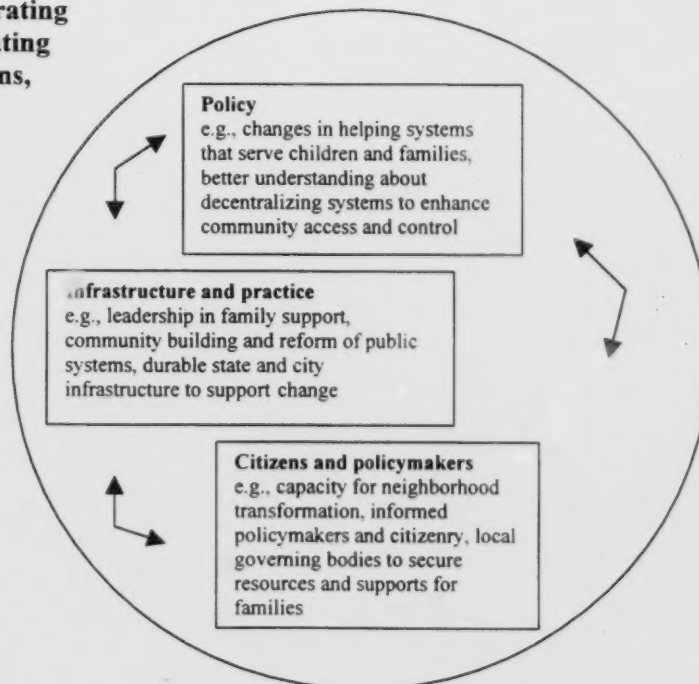
These components position Casey's emerging strategy (X_1) and create the momentum for changes in the operating environment (X_2) so that scale-up and sustainability are possible, as illustrated in Diagram 3-3 on the following page.

DIAGRAM 3-3
Casey's Strategy

**X₁ Simultaneous and Multi-Component Strategies
Preparing for Scale-Up**



X₂ Change in Operating Environment Creating Demand, Conditions, and Capacity for Scale-Up



As previously noted, Casey has modified its internal organization in order to drive and support the key elements in their strategy. These interrelated elements include comprehensive community transformation, policy reform, knowledge development and dissemination, and communication and public accountability. Their specific five-year plan to demonstrate how to increase community supports for children in the toughest neighborhoods, the Neighborhood and Family Initiative, has all of the components and most of the specific activities (and more) noted in the boxes X₁ and X₂. Their long-term goals for their overall work, which will focus heavily on the national place-based neighborhood initiative, include major changes at the community and policy levels that improve the outcomes for children most at risk. Their work deliberately and boldly pushes at the edge of knowledge about evaluation, strategic communication, and public engagement and of how these elements can fit together to support scale-up and sustainability.

The Heinz and Casey examples show how individual foundations are developing and testing simultaneous, multi-component theories of field building and scale-up. There are also examples of collaborative foundation efforts operationalizing such theories. The National Forum to Accelerate Middle-Level Reform, which grew out of a series of meetings of four national funders working on middle school reform (Carnegie, Clark, Kellogg, Lilly), is an emerging example. It includes many of the actors and components described in this theory of scale-up. The actors include not only the original foundations but also additional ones as well as other groups arguably necessary for scale-up: intermediaries, major national education organizations, and prominent researchers. The forum members are working together to assess, build and disseminate the knowledge base, develop a collective vision statement to be integrated into the work of the parties, and to develop an integrated action plan and communication strategy. There are no doubt other pertinent examples of formal and informal collaborative field building efforts currently under way that are testing the non-linear theory.

In articulating and testing this emerging theory of change, many foundations are tackling one of the toughest issues facing philanthropy: Is it possible for foundations to increase the return on their investments in learning and innovation by developing and funding strategies to scale-up and sustain effective programs, practices and policies? Addressing this issue arguably is also one of the potentially more powerful ways to improve the well-being of children and youth on a more widespread basis. The progress of these initiatives over the next few years will help to flesh out and modify the approaches represented in this emerging theory of change. Meanwhile, as noted, discussion and mapping of the theories of change underlying grantmaking strategies may be a useful next step within and across foundations. Diagram 3-1 could be used as a starting place to map individual foundation activities and strategies. It might also be useful to map multiple foundations' activities in particular areas such as early childhood or youth development in order to get an overall sense of how funders are collectively building capacity and the potential for scale-up and change. This collective map would illustrate the current patterns and gaps in grantmaking and help develop loosely-coupled overall field building strategies.

IV. HOW ARE FOUNDATIONS REORGANIZING TO DEVELOP NEW STRATEGIES AND ACCOMPLISH THEIR GOALS?

Transitions in foundation leadership, strategic planning and reassessment of goals and strategies to achieve greater impact, and the new theories of change are leading to several types of internal foundation reorganization. Now that many of these foundations fund less categorical, more comprehensive, and community-based initiatives, they are examining how their internal organization facilitates or hinders them doing so. Almost all of those we interviewed now make some effort to do more crosscutting grantmaking. These efforts range from abolition of subject area domains in favor of reintegration on functional or thematic lines, to the institution of more brown bag lunches to stimulate "cross-talk" within categorical organizational cultures. Most foundations are looking for "natural" areas of overlap to begin to break down what several called the "fief mentality." Many foundations are also exploring ways to better integrate their evaluation and communication staff and work from the outset into their strategy-development and grantmaking. We describe their efforts below:

Foundations are trying a number of approaches to create more synergy and crosscutting work across the major substantive areas of their grantmaking. Kellogg's possible new links between its youth development and philanthropy and volunteerism units, emphasizing youth service as a key in both community and youth development, as well as Ford's and Carnegie's new explorations of links between their domestic and international youth work, are examples of efforts to explore joint ideas with the potential for developing new approaches to emerging issues such as preparation of youth for world citizenship. Ford is creating incentives for more such crosscutting work in several ways. They are making extra dollars available to program officers for exploring research on issues that cut across program areas and for cross-area grantmaking. While they are in the early stages of this work, our respondents in many of these foundations suggest that upper level staff are clearly emphasizing and reinforcing this crosscutting work. Other ways that foundations are experimenting with ways, as one respondent put it, "to create the possibility of working differently" include:

- Joint development of principles or themes to guide grantmaking across program areas
- Strategic planning with goal setting that requires more crosscutting work to achieve impact
- More team development of strategies and initiatives
- More joint review of major or all grants
- Rearrangement of physical office space to facilitate de-categorization and crosscutting work
- Sharing all program papers that outline each area's goals, strategies and grants, and subsequent update memos on progress and challenges within units or across the foundation

- Setting up new funds for collaborative grants with shared responsibility for grantmaking across program officers and/or divisions
- Joint budgeting and decision-making about resource allocation across programmatic areas, sometimes also including representatives from functional areas such as communication and evaluation.

Several informants noted that there are important early lessons from their efforts to do more collaborative and integrated grantmaking and they are very eager to learn from others' experiences with what can sometimes be difficult organizational transitions. First, while the results may be more strategic, high impact grantmaking, it is clear that collaboration takes more time. This slows down the decision making process and can sometimes make it difficult to capitalize on opportunities that require quick decisions. Second, it takes time to develop an "interdisciplinary team" and build the right mix of specialization and shared knowledge necessary for a more integrated grantmaking approach. This organizational transition is facilitated by the fact, as noted previously, that most of these foundations are also reorganizing their internal operations in order to emphasize more learning and more communication, both as integral parts of their grantmaking strategies and in terms of their overall organizational identity and mission.

Another clear and growing emphasis is on learning and then communication of the lessons learned to multiple audiences, including foundation staff, practitioners, the public, policymakers and researchers. Foundations are in the early stages of developing their learning strategies and several of those we interviewed cautioned that the big changes required sometimes mean that the rhetoric is ahead of the reality. Several trends are emerging as these foundations grapple with how to increase their own learning capacity as well as that of their particular grantees and the overall fields in which they work. First, the program officers in half or more of the foundations now are required to lay out some variant of a strategic plan for their portfolio, including the goals, objectives, strategies and related activities, and the expected outcomes and to then report their progress, challenges and lessons learned every year or eighteen months. In several instances, this plan must include evaluation, networking, and other communication and dissemination activities from the start. Several foundations have added personnel who have responsibility for developing organizational learning plans that ensure a constant flow of different types of information into the foundation to inform grantmaking as well as knowledge and lessons learned back out to *multiple* audiences. Ford, for example, now has senior directors for learning in each of their units. Casey is developing its research and development and evaluation functions in order to support the development and use of knowledge from multiple internal and external sources. DeWitt Wallace uses its senior staff (department heads) for this purpose. Clark will be hiring a director of evaluation to oversee the evaluation efforts of all programs. As of 1998, Clark has adopted a comprehensive review process for existing programs to ensure that each has a coherent theory of change, including outcomes and related activities, an appropriate budget, and an exit scenario or plan.

Evaluation is reported by all but one of these foundations to be more important now than in the past.¹⁴ Almost all of them state that they increasingly commission or conduct evaluations of their large initiatives, both to learn from them and as part of their strategies to increase the scale-up and sustainability of effective approaches. Most foundations do not evaluate all individual grants although many require grantee specifications of goals, benchmarks, outcomes and lessons learned as part of their grantee reporting procedures. About half are engaged in some activity to build their grantees' own learning and evaluation capacity. Specific activities in this area include:

- Development of evaluation tools and guidelines
- Investment in development of new evaluation methodology directly or as a by-product of initiative evaluation
- Provision of technical assistance about evaluation for grantees individually and through meetings and conferences
- Investment in building the capacity of the evaluation profession to assess community-based initiatives and diversity in the evaluation field
- Investment in building grantee evaluation capacity (e.g., development and use of management information system data, self-assessment, participatory evaluation)
- Consultation with grantees, experts, and evaluators to assess learning and evaluation opportunities in a field, and thereby plan more strategic investments in knowledge development.

Several informants noted that there is sometimes a tendency to pass through the demand for accountability and impact to grantees without provision of the necessary evaluation tools and resources. They suggested that this is a problem for the non-profits that they fund, but that it could be turned into an opportunity. Many of the community non-profits are struggling to operate in a new environment shaped by more performance contracting, privatization, managed care, and pressure to demonstrate effectiveness. Their viability is increasingly dependent on their capacity to get and use data to improve and demonstrate their performance. Several foundations noted that this would be a good time to share strategies and consider joint grantmaking to help non-profits build their evaluation capacity.

The shift from linear to more simultaneous and multi-component theories of field building and scale-up described earlier is challenging foundations to develop complex, integrated, and continuous knowledge development, evaluation, and communication strategies. The linear model emphasizes research and demonstration on the front end, followed by replication tests to determine if a model reform or approach can be implemented and effective on

¹⁴ For a recent study of foundation evaluation strategies, see *Evaluation in Foundations: The Unrealized Potential*, a paper prepared by Patricia Patrizi and Bernard McMullen for the W. K. Kellogg Foundation (available from the authors at Patrizi and McMullen Consultants, 12 Greenwood Place, Wyncote, PA 19095).

a broader basis. If so, the positive results are presumably communicated, policy is influenced to support the necessary changes, capacity is built for widespread implementation, and outcomes change.

The simultaneous and multi-component approach, as shown in Diagram 3-1, explicitly emphasizes the continuous development and use of more types of knowledge for a broader group of stakeholders and a greater range of purposes. The expanded purposes, use of knowledge, and emphasis on continuous learning and communication are, in fact, defining features of the new multi-component theories of scale-up and sustainability. These expanded purposes frequently include understanding and informing the public knowledge and perception of issues, building demand for policy change and for effective, accountable initiatives and institutions, determination and dissemination of best practices for scale-up and professional development, and the use of data, research and evaluation to maintain effectiveness after the effort has gone to larger scale.

A few foundations are beginning to invest in building organizational capacity to get and use research and data, based on the belief that doing so is critical for building and sustaining effective models and reform approaches. Among those supporting new knowledge development and evaluation approaches as part of their simultaneous, multi-component initiatives are Casey, Clark, Kauffman, and Kellogg. As an integral part of their middle start school improvement initiative, Kellogg, for example, is promoting grantee capacity to get and use data to guide their reform efforts, promote public awareness, and create both the demand and capacity for successful scale-up.

As learning and evaluation begin to play a more important role within these foundations, several of them suggested that more cross-foundation discussion¹⁵ about evaluation issues and challenges would be useful. They also suggested including similar discussions about the theories of change underlying emerging grantmaking strategies, and the lessons learned in efforts to develop more integrated learning, evaluation, and communication strategies. One informant suggested that the annual meeting of the Council on Foundations would be a good opportunity for sharing results and lessons learned. This exchange of ideas and information would also, according to the informant, help reduce the emphasis on "show and-tell," which often is not particularly beneficial.

¹⁵ The Aspen Institute Roundtable on Effective Services, several noted, also has been a very useful forum for such discussions.

V. WHAT ARE THE CURRENT GAPS, OPPORTUNITIES, AND CHALLENGES FOR FUNDERS WHO WANT TO IMPROVE THE STATUS AND WELL-BEING OF CHILDREN AND YOUTH?

As we suggested in the introduction, the foundations we surveyed are raising the bar both with respect to the goals and impacts they hope to achieve with their grantmaking and with respect to their own learning and self-scrutiny. In the course of the interviews, they identified a number of tensions and questions that they are facing in the development of their priorities and strategies and in the allocation of their resources in their grantmaking to children and youth. These tensions and questions are described below.

1) There is growing tension between the need to focus grantmaking, develop multi-component initiatives, and articulate and stick to an overall theory and strategy for change on the one hand, and the need to be flexible, opportunistic, and responsive to lessons learned, new problems, and to the emerging needs of fields or communities, on the other. This tension plays out on multiple levels.

Major questions arise at the intersection of the foundation strategy and the community-based work. Whose voices will be heard? Just those of the experts? How do you build in diverse voices and sources of knowledge at all levels? How do you prevent strategies from becoming rigid and insensitive to what is going on in communities? There are a number of ideas emerging about how to handle these tensions in ways that could increase the impact of grantmaking. McKnight, for example, is regularly approached to fund local summer programs for children and youth. They recently responded by getting a youth development expert to translate research and evaluation findings into guidelines about the components of effective summer programs. The results help the non-profits to focus on what works and show other funders that these are a good investment.

As foundations undertake more large, multi-component, and strategic initiatives, tensions arise at the initiative level about where and how to assess and revise the underlying strategies. Tensions also occur regarding how to respond to relevant new opportunities. As foundations commit more of their resources to staff-initiated and solicited proposals (see Appendix C, Table 5 for trends in this regard), several indicated that they have some concerns about their capacity to respond to opportunities and to be responsive to the communities and fields in which they work. Recognizing this tension, Ford has its program officers organize their portfolios into three parts: 1) one or two large initiatives; 2) grantees with continuing commitments; and 3) new opportunities responsive to the field and new ideas at the level of the foundations' overall grantmaking for children and youth.

Some foundations argue that more discussions are needed about the risks and major trade-offs in the growing trend toward larger initiatives and more foundation-initiated or solicited efforts. Foundations provide much of the venture capital for innovation. If a substantial proportion of their individual and collective dollars is allocated to large initiatives and foundation-initiated efforts, this could potentially inhibit innovation and the necessary flow of new ideas.

2) Foundations moving to more intensive, local, place-based grantmaking identify the potential benefits of deeper learning and improved outcomes. They also note the potential risks of the lack of generalizable lessons, and, given their limited resources, possible trade-offs in building the capacity for scale-up of successful efforts.

They describe this as a productive tension insofar as it forces articulation and ongoing examination of their theories of change—both their specific theory of how to build communities supportive of human development and their related theory of how to communicate the resulting lessons and successes and build the will and capacity for scale-up. Several of these foundations are very carefully building in multiple ways to critique their theories and work in order to address the tensions and trade-offs. This includes ongoing evaluation of both their individual projects and their overall strategy as well as periodic critiques from external advisors and “critical friends.”

3) Uncertainties and tensions arise as foundations emphasize learning and crosscutting work within their own cultures and attempt to encourage more productive interchange and information flow among researchers, practitioners, policymakers, and the public.

The theories of change underlying much of the current work, including the simultaneous and multi-component one described earlier in this paper, depend on better connections among research, practice, and policy. However, no one underestimates the deep differences among the cultures of those who undertake these activities, nor the difficulty of creating productive relationships among them. As noted earlier in this paper, a number of the foundations are struggling with these issues, and much will be learned from their experiences.

4) There is a need for foundations interested in increasing the well-being of children and youth to begin conversations on how to work together on a strategic, not just project basis, while at the same time, maximizing the benefits of different points of view and avoiding a “monopoly of ideas.”

In response to questions about the extent of and experience with collaborations with other foundations, most noted the costs and the benefits and this emerging rule of thumb: collaboration makes sense when foundations share goals and where there are better opportunities to get things done by crafting overarching strategies or pooling resources. The affinity groups discussed earlier partly meet this need for conversation, strategizing, and exploration of possible co-funding opportunities to strengthen fields. It would be useful to build other mechanisms for informal sharing of ideas about how to build the capacity to improve outcomes on a widespread basis to inform public and policymaker views on key areas and issues affecting children and youth (e.g., youth as assets, the value of investing in quality early care and education, the importance of a public constituency for schools, etc.).

Our interviews suggest that these are several large issues important to the future of children and youth that would be useful topics for more discussion and exploration of common goals and funding possibilities. There are several areas where foundation coordination, if not collaboration, might heighten learning, suggest new approaches, and increase overall impact on issues critical to the future of everyone, not simply children and youth.

One important area for discussion concerns the ways in which local, national, and international economic forces currently create or inhibit opportunities for individuals and communities. Several foundations noted that successful child and youth development is connected to an economic system that creates opportunities and distributes wealth and that grantmaking strategies to enhance their well-being must examine and factor this in. This is at the heart of several foundations' efforts to build comprehensive initiatives that integrate human and economic development approaches.

Another valuable discussion would focus on how to prepare young people around the world to be citizens in increasingly diverse societies and in a global world. Many countries are struggling with these issues and with preparing youth not just for work but for democratic citizenship in a diverse world. A conversation among foundations about how to connect domestic and international youth work or about how education systems do or do not prepare youth for global citizenry, for example, potentially could have a powerful global impact.

Foundations are one of the few American institutions that can step back from the immediate fray, take the long-term view, and look at the ways in which larger trends are likely to influence the next generation of children and youth. They also have the power to convene diverse groups for discussion, as part of their public education role. As such, they are well-positioned to play a critical leadership role identifying new issues and doing the exploratory work necessary to surface and frame them for public discussion, for research, and for action. This leadership and think tank role should not be forgotten as foundations work on their chosen areas and strategies; it is a critical one both to guide their philanthropy and to provoke much-needed national discussion about what we want for our children and youth. The knowledge that foundations have accumulated and can stimulate is also a strategic resource for this discussion. It is vital to understanding past lessons and for generating new perspectives on recurring issues. Equipped with this knowledge, foundations can work together to initiate, inform, and build the broader national conversation about the issues facing children and youth — locally and globally — in the twenty-first century.

APPENDIX A

Foundation Change: Transitions and Planning

Carnegie Corporation of New York

New president and potential for new program priorities.

The Annie E. Casey Foundation

Just completed major internal reorganization and embarking on new strategic plan.

The Edna McConnell Clark Foundation

New president and in process of completing some lines of grantmaking and initiating others.

DeWitt Wallace—Reader's Digest Fund

Currently (1997-2000) implementing four-year strategic plan developed and approved in 1996.

The Duke Endowment

Just completed a full board and senior staff retreat on children's issues and developed a new fund for collaborative grants for children and families.

The Ford Foundation

New president and major internal reorganization underway.

William T. Grant Foundation

President leaving.

The Heinz Endowments

A 10-year review of major grantmaking just completed by the Children, Youth and Families Division and the Education Division just completed a 5-year review; both embarking on new efforts.

Ewing Marion Kauffman Foundation

Just completed major strategic planning efforts, with major shifts in programming underway.

W. K. Kellogg Foundation

Revising strategic plan for youth and education goal team area, and engaging programming staff foundation-wide on better aligned, more strategic grantmaking on youth.

The John D. and Catherine T. MacArthur Foundation

Just completed major internal reorganization and strategic planning process.

The McKnight Foundation

Major board and staff strategic planning process currently underway, with the potential for substantially more support for children and youth.

APPENDIX A

Charles Stewart Mott Foundation

Major transition in program officers—six of nine are new.

The David and Lucille Packard Foundation

Undergoing major reorganization as Foundation Board reconfigures grantmaking priorities following David Packard's death.

The Pew Charitable Trusts

Changes at the level of strategy development for the Health and Human Services national program.

The Rockefeller Foundation

New president, with potential for shifts in program priorities.

The Skillman Foundation

Engaged in major strategic planning effort and has had recent board changes.

The Spencer Foundation

Stable.

Robert W. Woodruff Foundation

Stable.

APPENDIX B #1
Foundation Interview List

Carnegie Corporation of New York
Vivien Stewart
Program Chair, Education Division

The Annie E. Casey Foundation
Ralph Smith
Vice President

Tony Cipollone
Director

The Edna McConnell Clark Foundation
Susan J. Notkin
Director, Program for Children

DeWitt Wallace-Reader's Digest Fund
Jane Quinn
Program Director

The Duke Endowment
Elizabeth H. Locke
President

The Ford Foundation
Janice Petrovich
Director, Education, Knowledge and Religion

Inca A. Mohamed
Program Officer, Human Development & Reproductive Health

William T. Grant Foundation
Lonnie R. Sherrod
Executive Vice President

The Heinz Endowments
Margaret M. Petruska
Senior Program Officer and
Director of Children, Youth &
Families Program

Ewing Marion Kauffman Foundation
Eugene Wilson
President and Chief Operating Officer
Youth Development

W.K. Kellogg Foundation
Anne C. Petersen
Senior Vice President for Programs

Geraldine Kearse Brookins
Vice President for Programs

The John D. and Catherine T. MacArthur Foundation
Paul E. Lingenfelter
Vice President for Program on Human and Community Development

The McKnight Foundation
Carol Berde
Vice President for Programs

Charles Stewart Mott Foundation
Chris Sturgis
Program Officer

The David and Lucile Packard Foundation
Deanna Gomby
Deputy Director
Center for the Future of Children

The Pew Charitable Trusts
Kent McGuire
Director, Education Program

Linda J. Rich
Program Associate
Health and Human Services Program

The Rockefeller Foundation
Angela Blackwell
Senior Vice President

The Spencer Foundation
Patricia Albjerg Graham
President

The Skillman Foundation
Kari Schlachtenhaufen
Vice President, Programs

Robert W. Woodruff Foundation
Charles H. McTier
President

FAX TRANSMISSION SHEET

TO: Heather Weiss

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Harvard Family Research Project

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(617) 495-9108

PRE-INTERVIEW SCHEDULE
SCAN OF FUNDING FOR YOUTH AND CHILDREN

1. What is your name and title?		
2. What is the name of your foundation?		
3. Thinking about your foundation's overall priorities, how much of a current priority is grantmaking to improve the status and well-being of children and youth?	the top priority a major priority a priority a minor priority not a priority	
4a. In the past 1-3 years, has the priority level of this grantmaking area shifted?	yes	no
4b. IF YES, did it become a higher or lower priority?	higher	lower
5a. In the next 1-3 years, do you anticipate a shift in the priority level of this grantmaking area?	yes	no
5b. IF YES, do you think it will become a higher or lower priority?	higher	lower
6a. Does your foundation have a designated program area for children and youth (any ages between 0-20)?	yes	no
6b. IF YES, is it part of a larger program area?	yes	no
6c. IF YES, what is the name of that area?		
7. IF YOU ANSWERED YES TO 6a, in 1996, what approximate percentage and amount of your funding went to children and youth (ages 0-20) <i>as a designated program area</i> ?	PERCENTAGE	AMOUNT
8. In 1996, what approximate percentage of your funding went to children and youth (ages 0-20) <i>across all foundation program areas</i> (e.g. education, community and social services, child health and children, youth and families)?	PERCENTAGE	AMOUNT
9. Over the past 1-3 years, did the share of foundation pay-out for child- and youth-related grants:	increase decrease remain the same	
10. Over the next 1-3 years, do you anticipate that the share of foundation pay-out for child- and youth-related grants will:	increase decrease remain the same	

APPENDIX B #2

11a. In 1996, what approximate percentage of <i>all</i> your child- and youth-related funding went to initiatives or programs for children in the following age categories? 11b. ALSO, In the next 1-3 years, do you anticipate each percentage will increase, decrease, or remain the same?	AGE	%	FUTURE
	Ages 0-5		increase decrease remain same
	Ages 6-13		increase decrease remain same
	Ages 14-20		increase decrease remain same
	LEVEL	%	FUTURE
	Local		increase decrease remain same
12a. In 1996, what approximate percentage of <i>all</i> your child- and youth-related funding went to initiatives, programs, or policies at the following levels? 12b. ALSO, In the next 1-3 years, do you anticipate each percentage will increase, decrease, or remain the same?	State		increase decrease remain same
	National		increase decrease remain same
13a. In 1996, what approximate percentage of <i>all</i> your child- and youth-related funding went to the following levels? 13b. ALSO, In the next 1-3 years, do you anticipate each percentage will increase, decrease, or remain the same?	LEVEL	%	FUTURE
	Public		increase decrease remain same
	Private, non-profit		increase decrease remain same
14a. In 1996, what approximate percentage of <i>all</i> your child- and youth-related grants were of the following types? 14b. ALSO, In the next 1-3 years, do you anticipate each percentage will increase, decrease, or remain the same?	TYPE	%	FUTURE
	Staff-initiated or solicited		increase decrease remain same
	Unsolicited		increase decrease remain same
15. What is the typical duration of your child- and youth-related grants?	1 year 2-3 years 4-5 years more than 5 years		
16a. In the last 1-2 years, has your foundation conducted a strategic planning process in the area of child- and youth-related grantmaking?	yes	no	
16b. IF NO, in the next 1-3 years, do you expect to conduct one?	yes	no	
17a. In the past 1-3 years, has your foundation launched a large, multi-grantee child- and youth-related initiative?	yes	no	
17b. IF NO, in the next 1-3 years, do you expect to initiate one?	yes	no	

Please check if you fund the categories and their specific activities below as part of your grantmaking for children and youth (ages 0-20). Then check the categories and activities that constitute your **primary strategies or investments**.

APPENDIX B #2

	Check (✓) if you fund this category or activity.	Check (✓) if this is a PRIMARY strategy or investment.
KNOWLEDGE DEVELOPMENT		
• Research and demonstration		
• Basic research		
• Evaluation		
• Development and dissemination of best practices		
CAPACITY BUILDING		
• Leadership development		
• Training		
• Technical assistance		
• Encouraging partnerships/collaboration		
• Intermediary development		
• Networking		
• Fellowships		
PUBLIC POLICY DEVELOPMENT		
• Policy planning, development, and analysis		
• Systems reform (i.e., changing institutional practices)		
• Development of public sector capacity, planning, and accountability		
• Public policy education		
DISSEMINATION AND COMMUNICATIONS		
• Technology transfer		
• Conferences		
• Public education		
• Publications and related dissemination activities		
SERVICE DELIVERY		
• Program development and direct service		
• Replication of promising practices		
PUBLIC ENGAGEMENT/CIVIL SOCIETY		
• Media campaigns		
• Dissemination		
• Surveys and polls		
• Development of philanthropy, volunteerism, and the non-profit sector.		
PROGRAM-RELATED INVESTMENTS AND OTHER INNOVATIVE FINANCING EFFORTS		
COMMUNITY DEVELOPMENT (<i>specify activities</i>)		

THANK YOU FOR YOUR PARTICIPATION.
PLEASE FAX BACK THESE 3 PAGES USING THE INFORMATION
LISTED AT THE TOP OF PAGE 1.

APPENDIX B #3

Foundation Survey of Grantmaking for Children, Youth, and Families

I. Clarification and Amplification of Responses to Pre-Interview Schedule

- 1.) Using the annual report and pre-interview responses, describe the organization of the Foundation's grantmaking for children and youth for validation by respondent and to determine if we should talk to others at the Foundation as well.

II. Grantmaking Goals and Strategies

- 1.) Are there any donor, mission-imposed, geographic, or other constraints on your grantmaking? (Probe for what they are and ways they affect grantmaking for children and youth.)
- 2.) What are the goals, principles, and/or crosscutting themes that guide your overall grantmaking for children and youth?
 - Why did you choose these? (Why do you invest in initiatives to benefit children and youth?)
 - How do these influence the areas and types of activities and programs you fund?
- 3.) What do you think are the strengths and accomplishments of your grantmaking for children and youth?
- 4.) What are the current grantmaking priorities and purposes or goals in each of your major funding areas or initiatives that involve children and youth (e.g., education, health, early childhood, child welfare, community development, and social services, etc.?)
 - Probe for examples of illustrative individual or clusters of grants in each major area.
 - What do you regard as your unique or most innovative types of grants or initiatives? Are there funding areas or types of grants you are especially known for?

APPENDIX B #3

- Do you anticipate any major changes either in the types of areas or activities you fund in the next few years?

5.) Looking at the list of activities in the pre-interview schedule and listed again below, what are the major activities that constitute your grantmaking strategy/strategies for a program area (e.g., education, health, etc.) or major initiative?

- Probe for major examples from recent or current funding.
- Do you often fund groups of interrelated grants or strategic partnerships among diverse types of grantees to try to accomplish your goals?
- Do you anticipate any important changes in major strategies in the next few years? (Probe about trends in their emphasis on work on dissemination, public education, use of technology, comprehensive and concentrated place-based grants, grants to encourage collaboration among those who work with children, youth, and families, and on development of or links to public policy.)

____ **Knowledge Development**

- ____ Research and Demonstration
- ____ Basic Research
- ____ Evaluation
- ____ Development and Dissemination of Best Practices

____ **Capacity Building**

- ____ Leadership Development
- ____ Training
- ____ Technical Assistance
- ____ Encouraging Partnerships/Collaboration
- ____ Intermediary Development
- ____ Networking
- ____ Fellowships

____ **Public Policy Development**

- ____ Policy Planning, Development, and Analysis
- ____ System Reform (i.e., changing institutional practices)
- ____ Development of public sector capacity for planning and accountability
- ____ Public policy education

____ **Dissemination and Communications**

- ____ Technology Transfer
- ____ Conferences
- ____ Public Education
- ____ Publications and Related Dissemination Activities

____ **Service Delivery**

APPENDIX B #3

- ___ Program Development and Direct Service
- ___ Replication of Promising Practices

___ **Public Engagement/Civil Society**

- ___ Media Campaign
- ___ Dissemination
- ___ Surveys and Polls
- ___ Program Related Investments
- ___ Community Development
- ___ Development of philanthropy, volunteerism, and the non-profit sector

___ **Program related investments and other innovative financing efforts**

___ **Community Development**

___ **Other (specify) _____**

6.) Do you have any joint or crosscutting grantmaking across the major funding areas *within* the Foundation?

If yes:

- Would you explain the areas/topics? (Probe for examples.)
- Do you anticipate doing more crosscutting grantmaking in the future? In what areas?

If no:

- Do you anticipate any areas or issues for joint funding in the future?

7.) Have you engaged in joint grantmaking with other foundations to support projects/initiatives for children and youth?

If yes:

- What types of grants did you fund and for what purposes? (Probe for examples.)
- Do you anticipate doing more in the future?
- In what areas?

If no:

- Do you anticipate any areas for collaborations in the future? (Probe for likely areas, strategies, and possible partners.)

APPENDIX B #3

III. Evaluation and Accountability

- 8.) Is evaluation a more important element of both your individual grants and of your overall grantmaking for children and youth now than in the past five years? How and why?
- 9.) What means do you use to assess your grantmaking for children and youth?
- Do you:
 - require grantees to conduct evaluation and report the results to you (If yes, approximately what percentage of grantees conduct some form of evaluation?)
 - conduct or commission external assessment of individual or clusters of grantees
 - conduct periodic staff or Board reviews of grantmaking
 - other (describe)
 - Thinking about your key grants for children and youth, what kinds of outcomes do you look for to assess their progress and impact?
- 10.) Thinking about your overall grantmaking, what types of grants and strategies have produced the greatest positive changes for children and youth?
- What are the major lessons that have emerged for future grantmaking?
- 11.) Do you or your grantees disseminate information about lessons learned from the activities you fund?
- Who are the primary audiences?
 - What do you expect to achieve through dissemination? (Probe for examples.)
- 12.) Do you now or do you plan in the future to fund efforts to build the capacity of the field and/or your grantees to evaluate initiatives for children and youth?
- For example, do you find:
- efforts to build grantee capacity in self-assessment and accountability
 - evaluation training to increase the supply of knowledgeable and diverse evaluators
 - evaluation technical assistance
 - other (describe)

APPENDIX B #3

- Have you seen any benefits from your investments?

IV. Key Emerging Issues in Grantmaking for Children and Youth

13.) Overall, what do you think are the major current gaps in funding for children and youth and what are your suggestions about how to address them?

- What are the key areas where foundations now are especially well-positioned to leverage change?
- What can foundations do to enhance the longer-term impact of grantmaking for children and youth?

14.) Do you think there are ways the priorities or strategies for grantmaking for children and youth should change as a result of devolution, increased privatization and demand for accountability, and concern about building and maintaining civil society?

- Are there specific ways foundations should invest their resources in order to maintain a public policy focus on children and youth? (What?)

15.) In recent years, many foundations have increased their investment in comprehensive place-based reform and change efforts to improve outcomes for children and youth. Have, or are you currently considering investing in these types of initiatives?

If yes:

- What are the emerging lessons?
- Are there ways to enhance their payoff?

16.) Is there anything else that you would like to flag for Kellogg as it develops its strategic plan for grantmaking to improve the well being of children and youth?

Thank you for your time, reflections, and advice.

APPENDIX C TABLE 1
Status of Foundation Strategic Planning

Foundations	Strategic Planning				
	Past 1-2 Years		Next 1-3 Years		
	Yes	No	Yes	No	Unknown
Carnegie		√	√		
Casey	√				
Clark		√	√		
Duke	√				
Ford	√				
Grant		√			√
Heinz	√				
Kauffman	√				
Kellogg	√				
MacArthur	√				
McKnight	√ ¹				
Mott		√	√		
Packard	√ ¹		√		
Pew	√ ²				
Rockefeller		√		√	
Skillman	√ ¹				
Spencer		√		√	
DeWitt Wallace	√				
Woodruff		√		√	

¹ Ongoing at the present time.

² The Health and Human Services Division is currently doing strategic planning.

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TABLE 2
Present, Past, and Future Priority of Grantmaking for Children and Youth

Foundation	Priority of Grantmaking to Improve the Status and Well-Being of Children and Youth					Priority Shift in Last 3 Years		Priority Shift in Next 3 Years	
	Top	Major	Priority	Minor	Not Priority	H = higher No	L = lower Yes	H = higher No	L = lower Yes
Carnegie		√				√			?
Casey	√					√		√	
Clark		√					H		H
Duke		√					H	√	
Ford ¹			√			H			
Grant	√					√		√	
Heinz		√ ²				√ ²		√	
Kauffman	√					√		√	
Kellogg		√				√			H
MacArthur		√				√		√	
McKnight		√				√			H
Mott			√			√			H ³
Packard		√				√		√	
Pew ⁴									
Rockefeller ⁵									
Skillman	√						H		H
Spencer ⁶						√		√	
DeWitt Wallace	√ not priority					√		√	
Woodruff	√ ⁷					√		√	
Totals	6	8	2			14	3	10	5

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¹ Ford was unable to provide this information.

² This remains the largest giving area of the Endowments.

³ Due largely to a recent five-year and \$55 million commitment to community education.

⁴ The Education and Health and Human Services Divisions of the Pew Charitable Trusts are in transition and could not provide this information.

⁵ No grantmaking for children and youth per se, so Rockefeller was unable to answer these questions.

⁶ Spencer funds research related to education across the lifespan; as it turns out, roughly 80 percent of its grants affect children or youth.

⁷ For the Joseph B. Whitehead Foundation (25 percent of its funds go to children and youth).

TABLE 3
Estimates of Foundation Funding for Children and Youth: Present, Past, and Future

FOUNDATION	1996 Foundation-Wide Funding for Children and Youth		Share of Foundation Pay-out for Children and Youth			Share of Foundation Pay-out for Children and Youth			
	% Overall Funding	Amount	Past 1-3 Years			Next 3 Years			
			Increase	Decrease	Same	Increase	Decrease	Same	Unknown
Carnegie	40	\$ 26,000,000			√				√
Casey	100	\$ 72,596,673			√			√	
Clark	45	\$ 9,000,000			√	√			
Duke	11	\$ 7,111,955 ¹	√			√			
Ford	3	\$ 8,270,500 ²	√						
Grant	100	\$ 8,000,000	√					√	
Heinz	58	\$ 26,588,797 ³	√			√(25%)			
Kauffman	45	\$ 30,000,000	√					√	
Kellogg	50	\$225,000,000 ⁴			√	√			
MacArthur	11	\$ 15,000,000			√			√	
McKnight	12	\$ 8,000,000			√	√			
Mott	14	\$ 11,000,000 ⁵			√			√ ⁴	
Packard	20	\$ 21,838,791 ⁶			√				√
Pew									
Rockefeller	50	\$ 35,000,000	√ ⁷						√
Skillman	83	\$ 15,064,115		√ ⁸		√			
Spencer	80	\$ 16,000,000	√			√			
DeWitt Wallace	100	\$ 34,054,181			√			√	
Woodruff	15	\$ 6,600,000 ⁹	√			√			
Totals		\$568,754,512	8	1	9	8	0	6	3

¹ They also provide an additional \$20 million for undergraduate financial aid.

² This figure is for early childhood and youth development and does not include education grantmaking.

³ This figure combines funding for children, youth, and families (\$9,198,425) and education (school-reform and other education-related work for the 0-19 period).

⁴ This is an estimate and includes all current grants as well as multi-year commitments.

⁵ Excluding \$55 million recently allocated as a multi-year commitment.

⁶ This figure includes grants through The Center for the Future of Children, education and community grantmaking and excludes grants to Children's Hospital. As its assets have increased the Foundation has increased its grantmaking. In 1997, The Center, education and community grantmaking totalled \$30,091,463, and in 1998 it will total \$56,770,000.

⁷ Due to increased funding for education and community development.

⁸ 1994 was an abnormally high year.

⁹ This includes all their foundations.

TABLE 4
Percentages and Future Status of Grantmaking by Age, Level, and Sector

FOUNDATION	Percentage of Grants by Age and Future Status*						Approximate Percentage of Grants*						Approximate Percentage of Grants to Different Sectors*			
	0-5	Future	6-13	Future	14-20	Future	Local	Future	State	Future	National	Future	Public	Future	Private/ NProfit	Future
Carnegie	25	U	40 ¹	U				U		U		U	20	U	80	U
Casey ²								I ¹		D		I				
Clark ²							80	S	5	I	15	S	50		50	
Duke	23	I	35	I	42	S	94	S	6	S	0	S	2	I	98	S
Ford ²																
Grant		S		S		S		S		S		S		S		
Heinz	75	I	5 ⁴	I	20 ⁴	I	80	I	10	I	10	I	10 - 15	I	75	I
Kauffman	15	I	60	S	25	D	60	I	10	I	30	D	10	S	90	S
Kellogg	37 ⁵	I	13 ⁵	I	6 ⁵	I	23 ⁵	I	15 ⁵	I	23 ⁵	I	60	S	40	S
MacArthur	Less than 5	S	40	S	55	S	30	S	5	S	65	S	10	S	90	S
McKnight ²		I		I		I	75	U	25	U	0	U	10	U	90	U
Mott	25	S	25	I	50	I	15	I	11	I	74	D	0		100	S
Packard	33	U	66 ⁶	U		U	83	D	8.5	I	8.5	I		U		U
Pew																
Rockefeller	20	U	60	U	20	U	85	U	0	U	15	U	80	U	20	U
Skillman ⁷	26	I	47	D	27	D	94	S	5	S	Less than 1	S	30 ⁸	D	70 ⁷	I
Spencer ⁹																
DeWitt Wallace	0	S	50	S	50	S	20	S	5	S	75	S	0	S	100	S
Woodruff ³		S		S		S	95	S	5	S	0	S	25	U	75	U

* I = Increase D = Decrease U = Unknown S = Same

¹ Work on school reform cuts across age categories.

² They do not fund or keep data by age categories so data are unavailable.

³ Due to new place-based neighborhood initiatives.

⁴ Future increases will be for K-3rd grade and 13-15 years.

⁵ Based on youth and higher education funding for FY 96-97.

⁶ This is 6-18.

⁷ These data reflect the 56 percent of grants that are age specific.

⁸ Currently under debate.

⁹ Funding in these categories varies according to what proposals come in and are funded.

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80

TABLE 5
Percentages of Solicited and Unsolicited Grants, Typical Grant Duration,
and Recent Launch of a Large Multi-Site Initiative

Foundation	Percent of Staff Initiated/ Solicited	Future	Percent of Unsolicited Grants	Future	Typical Grant Duration				Multi-Grantee Initiative				Unknown
									Past 1-3 years		Next 1-3 years		
					1 year	2-3 years	4-5 years	5 years +	yes	no	yes	no	
Carnegie	30	U	? ¹	U		√			√				√
Casey	95 ²	S	5	S		√			√				
Clark	95	S	5	S		√ ³			√				
Duke	30	I	70	S		√	√		√				
Ford						√			√		√		
Grant	0	S	100	S	√	√	√	√		√		√	
Heinz	90	I	10	S		√	√		√				
Kauffman	98	D	2	I		√			√				
Kellogg	10	I	90	D		√			√				
MacArthur	60	S	40	S		√			√				
McKnight	20	I	80	D	√	√				√	√		
Mott	60	S	40	S		√				√			√
Packard	10	I	90	D	√				√		√		
Pew													
Rockefeller	90	U	10	U				√	√				
Skillman	62	S	38	S	37	21	40	1	√				
Spencer	0	S	100	S		√				√		√	
DeWitt Wallace	95	S	5	S			√(3-4)		√				
Woodruff	10	S	90	S	√				√ ⁴				

* I = Increase D = Decrease U = Unknown S = Same

¹ This is difficult to estimate because many ideas for grants emerge from continuous interaction within the fields which Carnegie funds as well as with consultants knowledgeable about them.

² Casey funds two types of grants: 1) multi-year and multi-site initiatives that reflect Foundation ideas and 2) grants to support related policy, research, and evaluation organizations and activities.

³ The average Clark grant is for two years, but they often re-fund.

⁴ They began a major public education initiative.

Percentages of Solicited and Unsolicited Grants, Typical Grant Duration, and Recent Launch of a Large Multi-Site Initiative

APPENDIX C TABLE 5

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	Carnegie		Casey		Clark		Duke		Ford	
	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest
Knowledge Development										
• Research and demonstration	✓			✓	✓				✓	
• Basic research										
• Evaluation	✓			✓	✓		✓		✓	
• Development/dissemin best practices	✓			✓		✓	✓	✓		
Capacity Building										
• Leadership development	✓		✓		✓		✓	✓	✓	
• Training	✓		✓			✓	✓			
• Technical assistance	✓			✓		✓	✓		✓	
• Encouraging partnerships/collaboration	✓		✓			✓	✓	✓		
• Intermediary development	✓		✓				✓		✓	
• Networking	✓		✓		✓		✓	✓		
• Fellowships			✓							
Public Policy Development										
• Policy planning, dev., and analysis	✓				✓					
• Systems reform (i.e. changing institutional practices)	✓			✓		✓				
• Dev. public sector capacity, planning, and accountability	✓			✓		✓				
• Public policy education	✓				✓				✓	
Dissemination/Communication										
• Technology transfer	✓						✓			
• Conferences	✓		✓		✓		✓			
• Public education	✓		✓		✓		✓			
• Publications/related dissem activities	✓			✓	✓		✓		✓	
Service Delivery										
• Program dev. and direct service				✓ ¹	✓		✓	✓		
• Replication of promising practices	✓			✓ ¹		✓	✓	✓		
Public Engage./Civil Society										
• Media campaigns	✓		✓		✓					
• Dissemination	✓			✓	✓		✓			
• Surveys and polls					✓					
• Dev. philanthropy, volunteer, non-prof.	✓									
Program-Related Invest. and Innovative Financing Efforts										
Community Development				✓						

¹ Casey Family Services

	Grant		Heinz		Kauffman		Kellogg		MacArthur	
	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest
Knowledge Development										
• Research and demonstration			✓	✓	✓				✓	✓
• Basic research									✓	✓
• Evaluation			✓		✓	✓	✓	✓	✓	
• Development/dissemination best practices			✓	✓	✓		✓	✓	✓	✓
Capacity Building										
• Leadership development			✓	✓	✓	✓	✓	✓	✓	
• Training			✓	✓	✓		✓			
• Technical assistance			✓	✓	✓		✓		✓	
• Encouraging partnerships/collaboration			✓		✓	✓	✓		✓	✓
• Intermediary development					✓		✓			
• Networking					✓		✓			
• Fellowships					✓		✓	✓		
Public Policy Development										
• Policy planning, dev., and analysis			✓	✓	✓		✓		✓	✓
• Systems reform (i.e. changing institutional practices)			✓	✓		✓	✓		✓	✓
• Dev. public sector capacity, planning, and accountability			✓		✓	✓	✓		✓	✓
• Public policy education			✓		✓		✓			
Dissemination/Communication										
• Technology transfer			✓	1998	✓					
• Conferences				1998	✓		✓			
• Public education			✓	1998	✓	✓			✓	
• Publications/related dissemination activities			✓	1998	✓		✓		✓	
Service Delivery										
• Program dev. and direct service			✓	✓		✓				
• Replication of promising practices			✓	✓	✓					
Public Engage./Civil Society										
• Media campaigns			✓	1998	✓				✓	✓
• Dissemination			✓	1998	✓		✓	✓	✓	✓
• Surveys and polls			✓	1998	✓		✓			
• Dev. philanthropy, volunteer, non-prof.					✓		✓	✓		
Program-Related Invest. and Innovative Financing Efforts							✓	✓	✓	✓
Community Development						✓	✓	✓	✓	✓

	McKnight		Mott		Packard		Pew		Rockefeller	
	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest
Knowledge Development										
• Research and demonstration	✓		✓	✓	✓					✓
• Basic research			✓						✓	
• Evaluation			✓	✓	✓	✓				✓
• Development/dissemination best practices			✓	✓	✓					✓
Capacity Building										
• Leadership development	✓		✓		✓					✓
• Training			✓	✓	✓					✓
• Technical assistance			✓	✓	✓					✓
• Encouraging partnerships/collaboration	✓		✓		✓					✓
• Intermediary development	✓		✓		✓					✓
• Networking	✓		✓							✓
• Fellowships										
Public Policy Development										
• Policy planning, dev., and analysis			✓		✓	✓			✓	
• Systems reform (i.e. changing institutional practices)	✓		✓	✓	✓					✓
• Dev. public sector capacity, planning, and accountability	✓				✓					✓
• Public policy education			✓		✓					
Dissemination/Communication										
• Technology transfer					✓					
• Conferences			✓		✓					
• Public education			✓		✓					✓
• Publications/related dissemination activities	✓		✓		✓					✓
Service Delivery										
• Program dev. and direct service	✓	✓	✓	✓	✓	✓				
• Replication of promising practices	✓	✓	✓	✓	✓					✓
Public Engage./Civil Society										
• Media campaigns					✓				✓	
• Dissemination			✓		✓					✓
• Surveys and polls										
• Dev. philanthropy, volunteer, non-prof.			✓		✓					
Program-Related Invest. and Innovative Financing Efforts					✓					
Community Development	✓	✓	✓	✓	✓					✓

APPENDIX C TABLE 6
Primary Strategies or Investments

	Skillman		Spencer		DeWitt Wallace		Woodruff			
	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest	Funded	Primary Strategy/Invest		
Knowledge Development										
• Research and demonstration					✓					
• Basic research										
• Evaluation	✓	✓			✓					
• Development/dissemin best practices					✓	✓				
Capacity Building										
• Leadership development					✓					
• Training	✓				✓	✓				
• Technical assistance					✓	✓				
• Encouraging partnerships/collaboration	✓	✓			✓	✓				
• Intermediary development					✓					
• Networking	✓				✓					
• Fellowships										
Public Policy Development										
• Policy planning, dev., and analysis	✓									
• Systems reform (i.e. changing institutional practices)	✓				✓					
• Dev. public sector capacity, planning, and accountability										
• Public policy education					✓					
Dissemination/Communication										
• Technology transfer					✓					
• Conferences					✓					
• Public education					✓					
• Publications/related dissem activities	✓				✓					
Service Delivery										
• Program dev. and direct service	✓	✓			✓	✓				
• Replication of promising practices	✓	✓			✓	✓				
Public Engage./Civil Society										
• Media campaigns	✓									
• Dissemination	✓				✓	✓				
• Surveys and polls										
• Dev. philanthropy, volunteer, non-prof.					✓					
Program-Related Invest. and Innovative Financing Efforts										
Community Development		✓								

APPENDIX D-TABLE 1

TOP 30 FUNDERS FOR CHILDREN AND YOUTH IN 1995/96*

	FUNDER	AMOUNT	# OF GRANTS
1	The Annie E. Casey Foundation	\$66,324,092.00	378
2	Lilly Endowment, Inc.	\$56,093,447.00	89
3	W. K. Kellogg Foundation	\$50,756,648.00	190
4	The Robert Wood Johnson Foundation	\$40,502,888.00	177
5	The William Penn Foundation	\$36,212,514.00	111
6	The David and Lucile Packard Foundation	\$35,382,532.00	194
7	The Ford Foundation	\$24,010,875.00	111
8	DeWitt Wallace-Reader's Digest Fund	\$23,873,696.00	35
9	The Pew Charitable Trusts	\$22,739,000.00	101
10	Carnegie Corporation of New York	\$20,932,300.00	91
11	John D. and Catherine T. MacArthur Foundation	\$16,940,989.00	71
12	Ewing Marion Kauffman Foundation	\$13,083,938.00	95
13	The Kresge Foundation	\$12,245,000.00	23
14	Wal-Mart Foundation	\$12,129,300.00	31
15	The McKnight Foundation	\$11,950,400.00	141
16	Charles Stewart Mott Foundation	\$10,487,770.00	63
17	The Skillman Foundation**	\$9,695,115.00	46
18	The Chicago Community Trust	\$9,407,527.00	130
19	Weingart Foundation	\$9,070,297.00	191
20	The California Wellness Foundation	\$8,646,437.00	88
21	The Rockefeller Foundation	\$8,407,028.00	47
22	The Edna McConnell Clark Foundation	\$7,903,000.00	55
23	The Freddie Mac Foundation	\$7,815,120.00	143
24	Heinz Endowments, Vira I. & Heinz Family Foundation***	\$7,650,852.00	69
25	The J. E. and L. E. Mabee Foundation, Inc.	\$6,772,564.00	28
26	Marin Community Foundation	\$6,642,977.00	66
27	The Duke Endowment	\$6,530,894.00	107
28	Joseph B. Whitehead Foundation	\$6,230,000.00	26
29	Robert R. McCormick Tribune Foundation	\$6,120,338.00	190
30	The Ahmanson Foundation	\$5,770,871.00	108

* These amounts support services & activities for infants, children & youth to age 18: neonatal care; child welfare including adoption, foster care, & pregnancy counseling & prevention programs; adolescent parent services; pediatrics & children's hospitals; & children's museums. Also includes youth development services: youth centers & clubs; adult/child matching programs; scouting organizations & various youth development organizations (including those for community service, agriculture, business education, citizenship, & religion). Does not include grants for college scholarships or most public & private schools.

** The Skillman Foundation independently reports that in 1996 it paid \$14,618,115 for 82 grants.

*** The total amounts for Heinz Endowments, Vira I., and Heinz Family Foundation have been combined.

Source: "Grants for Children and Youth", published by the Foundation Center.

APPENDIX D-TABLE 2

TOP 25 FUNDERS FOR CHILDREN AND YOUTH (0-19) IN 1996			
	FUNDER	AMOUNT	NUMBER OF GRANTS
1	The Annie E. Casey Foundation	\$62,568,322.00	350
2	W. K. Kellogg Foundation	\$33,074,431.00	117
3	The William Penn Foundation	\$29,873,416.00	59
4	The David and Lucile Packard Foundation	\$29,183,875.00	123
5	The Robert Wood Johnson Foundation	\$28,654,078.00	122
6	DeWitt Wallace-Reader's Digest Fund	\$17,876,012.00	28
7	Carnegie Corporation of New York	\$14,397,300.00	64
8	The Pew Charitable Trusts	\$12,914,000.00	64
9	Wal-Mart Foundation	\$11,592,870.00	23
10	The Ford Foundation	\$11,538,400.00	67
11	Lilly Endowment, Inc.	\$11,481,160.00	38
12	The McKnight Foundation	\$8,920,400.00	93
13	Ewing Marion Kauffman Foundation	\$8,893,484.00	72
14	John D. and Catherine T. MacArthur Foundation	\$8,470,750.00	33
15	Edna McConnell Clark Foundation	\$7,508,000.00	50
16	Weingart Foundation	\$7,315,737.00	155
17	The Kresge Foundation	\$7,295,000.00	19
18	Rockefeller Foundation	\$6,489,588.00	32
19	The J.E. and L.E. Mabee Foundation	\$6,172,564.00	23
20	Charles Stewart Mott Foundation	\$5,792,060.00	40
21	The Duke Endowment	\$5,781,338.00	93
22	The Skillman Foundation	\$5,587,115.00	34
23	The Freddie Mac Foundation	\$5,328,043.00	79
24	Dan Murphy Foundation	\$5,312,000.00	5
25	William T. Grant Foundation	\$4,948,386.00	19

Source: Foundation Center Grants Data Base, Top Children and Youth (0-19) Funders, 1996.

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APPENDIX D-TABLE 3

TOP 25 EARLY CHILDHOOD (0-4) FUNDERS IN 1996			
	FUNDER	AMOUNT	NUMBER OF GRANTS
1	The Robert Wood Johnson Foundation	\$9,035,620.00	44
2	The Ford Foundation	\$3,341,375.00	13
3	The David and Lucile Packard Foundation	\$3,012,989.00	39
4	W. K. Kellogg Foundation	\$2,819,002.00	12
5	The Pew Charitable Trusts	\$2,817,000.00	14
6	The Skillman Foundation	\$2,251,000.00	4
7	The William Penn Foundation	\$1,926,724.00	12
8	The Freddie Mac Foundation	\$1,908,077.00	46
9	Bush Foundation	\$1,504,381.00	3
10	Marin Community Foundation	\$1,270,575.00	8
11	Hartford Foundation for Public Giving	\$1,265,000.00	6
12	Charles Stewart Mott Foundation	\$1,171,310.00	7
13	Foundation for the Carolinas	\$1,067,366.00	4
14	Howard Heinz Endowment	\$1,048,675.00	7
15	Hillcrest Foundation	\$1,020,000.00	10
16	Carnegie Corporation of New York	\$1,000,000.00	5
17	Robert R. McCormick Tribune Foundation	\$918,503.00	14
18	Walton Family Foundation	\$910,000.00	1
19	Kate B. Reynolds Charitable Trust	\$860,100.00	7
20	Ewing Marion Kauffman Foundation	\$859,942.00	7
21	The Kresge Foundation	\$800,000.00	2
22	Meadows Foundation	\$718,825.00	4
23	S.H. Cowell Foundation	\$680,000.00	7
24	Miriam and Peter Haas Fund	\$625,439.00	7
25	Houston Endowment	\$582,500.00	7

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Source: Foundation Center Grants Data Base, Top Early Childhood (0-4) Funders, 1996.

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